

# Manual

## Training Needs Assessment and Training Outcome Evaluation

### In an Urban Context





Manual

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**In an Urban Context**

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# GLOSSARY

<b>Capacity Development:</b>	The process whereby people, organizations and society as a whole unleash, strengthen, create, adapt, and maintain capacity over time. <sup>1</sup>
<b>Capacity Assessment:</b>	A capacity assessment identifies capacity on three levels; individual, organizational and enabling environment. It is a more comprehensive approach than training needs assessment as it also looks at the interrelation between each of these levels of capacity.
<b>Impact:</b>	The positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. <sup>2</sup>
<b>Learning:</b>	Learning is directly related to increased knowledge and understanding; improved technical, mental or social skills; or changes in attitudes or values.
<b>Learning Objective:</b>	Learning objectives clearly define what the goal of the training is: what the trainees are expected to learn from the training and be able to achieve after the training.
<b>Outcomes:</b>	The likely or achieved short-term and medium-term effects of an intervention's outputs. <sup>3</sup>
<b>Outputs:</b>	The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes. <sup>4</sup>
<b>Training:</b>	The passing of knowledge, skills or attitudes from one party or individual to another.
<b>Training Needs Assessment:</b>	A training needs assessment looks specifically at the skills, knowledge and attitudes of potential trainees. It uses this information to determine if and how the issue can be improved by training.
<b>Training Outcome Evaluation:</b>	A training outcome evaluation is carried out to see if the objectives of the training have been met and how the training process can be improved. Results can be measured on four levels: the event and the participants' immediate reactions, the participants' learning, the participants' job performance, and the organizational performance.
<b>Transfer of Learning:</b>	The application of learning to the workplace.

<sup>1</sup> Organisation for Economic Co-operation and Development/The Development Assistance Committee (OECD/DAC), *The Challenge of Capacity Development: Working Towards Good Practice, DAC Guidelines and Reference Series*, Paris, 2006. Available at [http://www.oecd.org/document/7/0,3746,en\\_2649\\_33721\\_38549470\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/7/0,3746,en_2649_33721_38549470_1_1_1_1,00.html) (accessed 2012-05-23)

<sup>2</sup> OECD/DAC, *Glossary of Key Terms in Evaluation and Results Based Management*, 2002, p. 24. Available at <http://www.oecd.org/dataoecd/29/21/2754804.pdf> (accessed 2012-05-23)

<sup>3</sup> *ibid.*, p. 28.

<sup>4</sup> *ibid.*, p. 28.

## PREFACE

Half of the world's population already lives in cities. Many cities in developing countries will continue to experience rapid growth rates. In order to manage urban development challenges – which will be exacerbated by this growing population pressure, climate change and ongoing devolution of power – the need to further develop the capacities of cities to address these will also grow. Within its mandate to promote socially and environmentally sustainable towns and cities UN-Habitat collaborates with and supports Local Government Training Institutions. These institutions are key actors in developing the capacities of the cities in their countries or regions.

Training is one of the most common types of capacity development activities, with millions of dollars spent on it each year. These interventions aim to change and improve the individual and their organization's performance. Training needs assessment and training outcome evaluation are crucial steps of the training cycle to ensure this change. However, when financial resources are scarce assessment and evaluation are often among the first steps to be cut back, in particular as they are perceived as rather complicated. The intention is, of course, to save money, but the effect might very well be the opposite, that resources are wasted on training that is not relevant and provides no verifiable results. Additionally, at this time of global financial crisis it is increasingly important for all stakeholders in training to be able to prove value for money by showing that the training investments are paying off. We cannot afford to spend time and resources on training that does not improve the work of the organizations being trained. Consequently, all actors wishing to contribute to a sustainable urban development should engage in training needs assessment and training outcome evaluation.

This manual provides the basic theory of, and affordable methods for, conducting training needs assessment and training outcome evaluation along with concrete tips and

tools to support their practical application. It builds on the UN-Habitat practice note *Training for better cities*, which presents cutting edge theory and useful tools on training for capacity development. While *Training for better cities* concerns the entire training process, this manual focuses and expands on needs assessment and outcome evaluation of training. In addition, further elaboration, details and practical examples concerning different approaches to training needs assessment, modes of training, prioritization of training interventions and examples of training outcome evaluations can be found on the website of the Institute for Housing and Urban Development Studies (IHS), [http://www.ihs.nl/research/ihs\\_publications/ihs\\_manuals/](http://www.ihs.nl/research/ihs_publications/ihs_manuals/).

The rationale behind creating one manual for both assessment and evaluation, instead of two separate manuals, is that the two steps are closely linked and consequently the quality of one greatly affects the other. Training needs assessment produces learning objectives for the training, while training evaluation measures how well the outcomes of the training match these same objectives. Ideally the evaluation also feeds back into the next training cycle to improve the process.

This manual is primarily intended for use by training institutions providing capacity development activities related to sustainable urban development, although other actors may find it useful as well. Local governments and other organizations who are recipients of training could benefit from using this manual to assess internal needs before engaging with training institutions.

This manual is an output of the project: *Enhancing the Contribution of Local Authorities and their Partners towards achieving the MDGs through Capacity Building of Local Government Training Institutes* funded by the United Nations Development Account (7th Tranche).



# INTRODUCTION

## Training and Capacity Development

To understand the important roles of training needs assessment and training outcome evaluation in capacity development, the role of training first has to be clear. Training in the context of capacity development is the passing of knowledge, skills or attitudes from one party or individual to another. It is a planned learning process aiming to improve the competency of the trainees; so as to positively change their behaviours and provide benefits to their organizations and other stakeholders.

Most positive examples of training involve the learning of technical skills, where it is easy to see and experiment with how the learning can be applied. However, it is important to note that training is not suitable in all situations. In fact, there are many cases where training is not at all effective in building capacity. One of the best skills a trainer can have is understanding the limitations of training.

Successful training requires the support of the trainees as well as their organization, and time invested by both. In addition, the training needs assessment may identify capacity issues that training alone cannot affect. For example, conducting a leadership training for employees of a local government may result in a poor use of resources and little change if employees lack motivation because they feel undervalued. To address such a situation would require a different capacity development approach. There are also more complex situations where

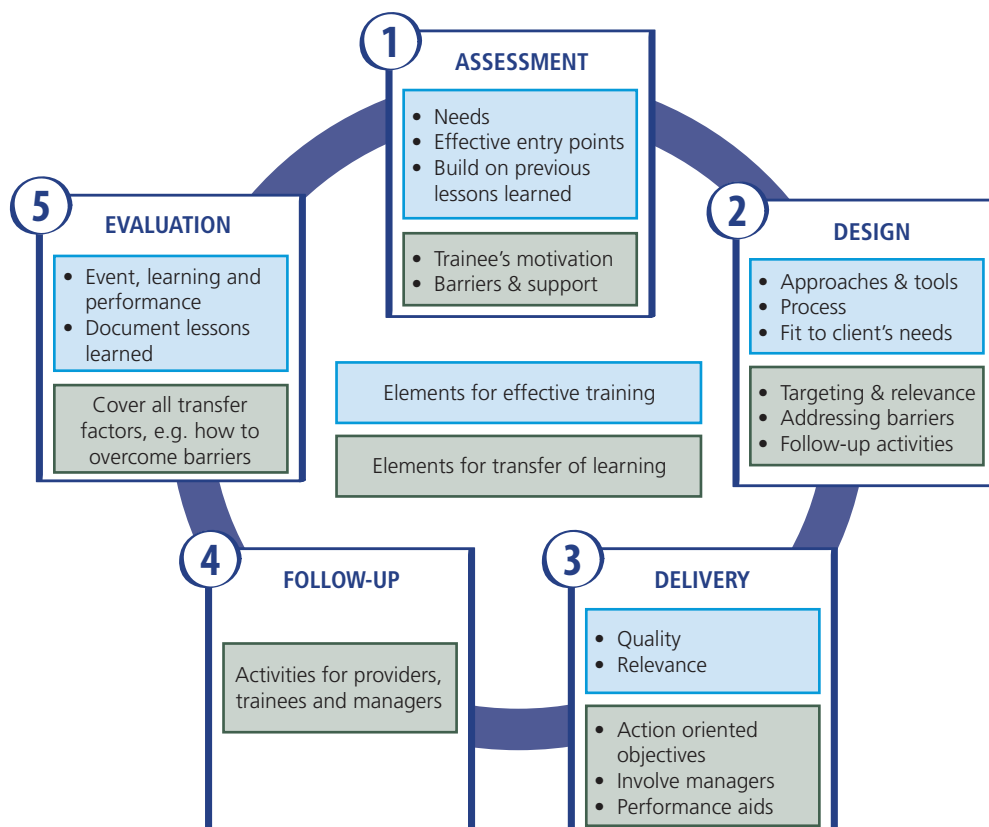
training cannot not make any substantial change, such as when organizational performance is constrained by the structure of the organization, local and national priorities, or legislation and policies.

## The Training Cycle

When training is considered to be an effective approach to the identified problem adequate assessment, design, delivery, follow-up and evaluation of the training are all crucial to ensure positive outcomes. These are the five basic steps of the training cycle. Although this manual covers mainly needs assessment and evaluation of training it is important to understand how they are linked to the other steps in the training cycle.

During the assessment the context and needs of the trainees and their organization are studied and objectives for the training are set according to what the organization wishes to achieve. The design of the training builds on the findings of the assessment and the defined learning objectives. Training delivery is the conduct of training, usually in the form of one or more events. Follow-up is conducted to monitor and assist trainees post-training as they implement what they have learned. Finally, evaluation is carried out to see if the objectives of the training have been met and how the training process can be improved.

FIGURE 1: The training cycle



However, for the training to positively affect the trainee's work another dimension has to be added to the training process. The application of learning to the workplace is usually referred to as **transfer of learning**<sup>5</sup>, and each step of the training process should be carried out in a way that supports transfer of learning. This includes, for example, identification of potential barriers and enhancers to transfer of learning within the organization during the assessment, addressing these barriers and enhancers in the design, building in follow-up activities, keeping the trainees motivated during the delivery, and involving the trainees' managers in the process.

The traditional linear or cyclic process of training has to be applied with flexibility. It might be necessary to loop back to the design phase during the delivery to adapt the training to changed circumstances, follow-up activities may run in parallel with the evaluation, and the evaluation should have its starting point already in the assessment.

Many different methods, theories and tools exist to assist in each step of the training process. While this manual focuses on assessment and evaluation of training, there are many other sources of information for those who wish to dig deeper into the design and delivery of training programmes. For more information on some of these, please refer to the UN-Habitat practice note *Training for better cities*<sup>6</sup>.

## Determining the Extent of the Assessment and Evaluation

The extent of the needs assessment and evaluation has to be determined for each training programme. For a short, low-budget training programme it may not be necessary or feasible to start with a broad initial information gathering or engaging in evaluation on an organizational level. The more large-scale the training programme is the more extensive the assessment and evaluation have to be. As a minimum the assessment should identify barriers to transfer of learning and factors that might prevent the training from having any result at all. The potential training participants' existing knowledge, skills or attitudes also need to be identified. For evaluation every training should include at least evaluation of the participants' reactions to the event and what they learned from the training.

There is an ongoing debate on how far evaluations can and should be taken. This manual focuses on how to determine the outputs and outcomes of training, instead of grappling with the theory of whether or not it results in impacts at a city, regional or national level in the long-term.

**Impact** is, according to the OECD/DAC glossary of 2002, the "positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended."<sup>7</sup> Many agencies and disciplines struggle to find effective ways to evaluate the impact of capacity development processes, including trainings, at such grand levels. Furthermore, the potential impact of a training programme can be affected by many external variables, which often makes it impossible to distinguish what is a direct result of the training.

**Outputs** are defined as "the products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes."<sup>8</sup>

**Outcomes** are "the likely or achieved short-term and medium-term effects of an intervention's outputs."<sup>9</sup>

There are always outputs and outcomes of training, intended or not, and evaluating these provides useful insights for training institutions as well as their clients.

### AN EXAMPLE OF THE DIFFICULTIES IN EVALUATING IMPACT ON A CITY LEVEL

A local government is aiming to reduce unemployment and key individuals representing the local government are sent to participate in a job creation training where they learn of methods to stimulate the labour market. This results in the foundation of a business incubator, supporting start-up companies to grow. After three years the unemployment in the city is significantly lower, but whether or not this is a result of the particular training is difficult, costly and perhaps even impossible to determine. There are many other factors that might have had an impact on employment, such as increased global financial stability, new national laws making it easier for companies to hire, and a multinational company establishing a branch in the city. However, the outputs and outcomes of the training interventions, what the training participant learned about job creation and how it affected their work, can still be measured.

## Engaging the Stakeholders

The training process has several stakeholders. It is important to make clear the role of each of them, what their interest in the training is, and the reasons for engaging them in both the assessment and evaluation. For example, each stakeholder contributing financially to the training will benefit from taking part in the evaluation by knowing what the investment resulted in.

<sup>5</sup> For a summary and guide to transfer of learning, see M. Taylor, *Transfer of Learning: Planning Workplace Education Programs, Human Resources and Social Development Canada, 1997*. Available at <http://www.nald.ca/library/research/nls/inpub/transfer/cover.htm> (accessed 2012-05-23)

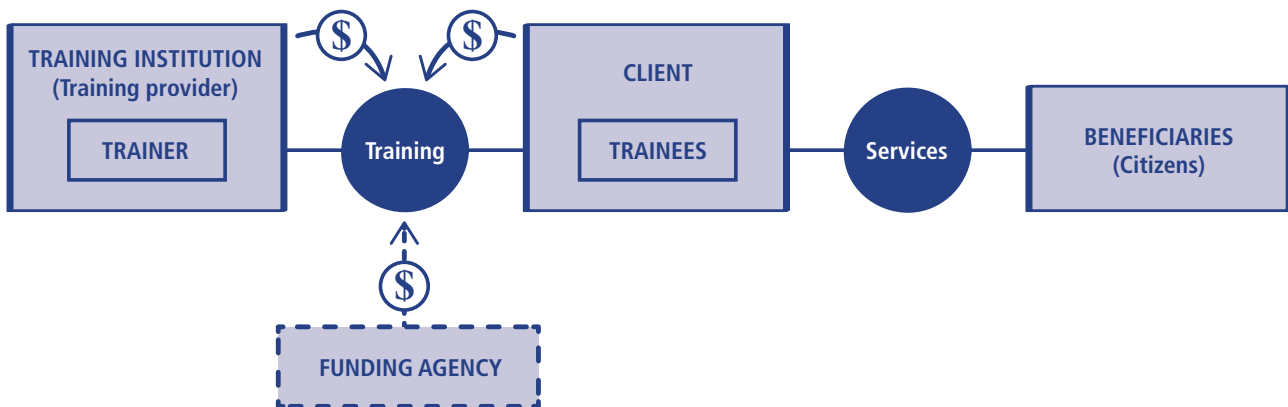
<sup>6</sup> Available at <http://www.unhabitat.org/pmss/listItemDetails.aspx?publicationID=3350> (accessed 2012-07-10)

<sup>7</sup> OECD/DAC, 2002, *op. cit.*, p. 24.

<sup>8</sup> *ibid.*, p. 28.

<sup>9</sup> *ibid.*, p. 28.

FIGURE 2: The main stakeholders in training



**Training Institutions:** Although training institutions are providers of training their role should not be seen as one-way suppliers. Assessment and evaluation are important to create demand driven training programmes that are relevant and of high quality, and they also contribute to improving the services of the training institution in the long-term.

**Client:** Depending on the type of training institution, clients can be national or local governments, NGOs, other organizations, private sector actors, or a combination of these. The client invests in training, financially, through ideas and in the form of staff time. They will need the assessment to know if training is the right investment and what type of training would be valuable. Evaluation is crucial for the client to know if the training had the desired result and to know how to invest in future training. Although the word client is being used in this manual, the client should not be a passive recipient in the process but have the more superior role of a partner involved in all steps.

**Trainer:** The trainer bases the training design on the results of the needs assessment and can, by way of evaluation, receive feedback on how to improve the design of future trainings and training tools.

**Training Participants/Trainees:** Since the participants are directly involved in the training they are core stakeholders. They have an understanding of the needs for training, can assist in defining training objectives, can provide feedback on training delivery to both the training institution and their organization, the client. They are also an important source of information to evaluate the long-term results of the training.

**Funding Agencies:** If the training is wholly or partly funded by external parties, such as development partners or national or local government bodies, they will need assessment results to be convinced that training is a wise investment. The evaluation is necessary to show results. If the outcome is positive, evaluations can also be useful to convince agencies to invest in future training programmes.

**Beneficiaries of the Client's Services:** In the context of training a local government, the citizens are the beneficiaries, as they utilize the services provided by the local government. Beneficiaries are rarely considered in the planning, design and evaluation of training programmes but can be a useful source of information both for assessment and evaluation. They can provide their opinions on the quality of the services, both before and after the training, although it is important to note that they cannot determine whether any change in quality is the result of training or other factors.

PART 1:

# **Training Needs Assessment**



# INTRODUCTION TO TRAINING NEEDS ASSESSMENT

## 1.1. Assessing Needs and Capacities

Conducting a training needs assessment is an essential first step in the planning of an effective training programme. A training needs assessment usually focuses on current and desired skills, knowledge and attitudes of the trainees. However, before specifying the training needs on an individual and organization level it may be necessary to carry out broader initial information gathering on the capacities of the organization and its environment. Analyzing the current capacities, strengths, and weaknesses of each, the needs assessment is able to provide a solid base of information which can direct the focus of the training needs assessment. It is common to focus only on the weaknesses and gaps in capacity. However, by also identifying strengths and opportunities of the organization, its employees, and environment, a more informed decision can be made on how training can strengthen capacity or if other approaches would be more effective.

### THE NEEDS ASSESSMENT TERMINOLOGY USED IN THIS MANUAL

**Capacity assessment** refers to identifying capacity on three levels; individual, organizational and enabling environment. It is a more comprehensive approach than a training needs assessment as it also looks at the interrelations between each of these levels of capacity. Capacity assessments are common when conducting many activities, such as project design as well as training. **Training needs assessment** looks specifically at the skills, knowledge and attitudes of potential trainees. It uses this information to determine if and how the issue can be improved by training. In this manual, which focuses on training needs assessment, crucial concepts of capacity assessment are incorporated to ensure that the training needs assessment is effective. For example, it is suggested to carry out **initial information gathering** on overall capacity and to identify the potential barriers to training effectiveness, before moving on to **specifying the training needs**. This ensures that the training will not be a waste of resources and that it will contribute to the work of the organization.

### 1.2. Approaches to Assessment

There are many approaches to assessing the capacity of an organization within its context. These approaches may include specific assessments, such as the Needs Assessment, Gap Analysis and Broad Capacity Assessment which have been outlined by many international actors, both large and small. Other approaches, such as the Capacity Development Results Framework promoted by the World Bank Institute<sup>10</sup>, include detailed steps from the identification and assessment phases to the evaluation phase. These and additional approaches have been written about by the Organisation for Economic Co-operation and Development (OECD) in a Development Assistance Committee reference document<sup>11</sup>. Regardless of which approach is chosen, it is crucial that it is applied with flexibility towards the economical, cultural, political and social context. There is no single method for capacity assessment that can be followed strictly step by step, without adaptation to the specific situation.

### 1.3. Making Sure Training is Relevant

Training is often seen as the solution to all capacity problems, even though there are many situations training alone cannot improve. Hence, the first priority of a needs assessment should be conducting some initial information gathering which is used to determine whether training is an appropriate approach; preventing investments into trainings that will not help the organization. When training is decided upon as the best way to develop capacity, the specification of training needs is essential for identifying who should be trained, what the focus of the training should be, and how to deliver the training. The trainer then uses this information to develop a training programme that is relevant both to the individual participants and their organizations.

An understanding of the individual and organizational constraints and capabilities enables the trainer to devise practical steps to get the trainee from their current state to the desired post-training state. By identifying these constraints, capabilities, and potential enhancers and barriers to the transfer of learning in the beginning, a training design and delivery method to maximize the effect of the training can be developed.



Training needs assessment as part of a national training strategy. © UN-Habitat

10 The World Bank, The Capacity Development Results Framework - A strategic and results-oriented approach to learning for capacity development, 2009. Available at [http://siteresources.worldbank.org/EXTCDRC/Resources/CDRF\\_Paper.pdf?resourceurlname=CDRF\\_Paper.pdf](http://siteresources.worldbank.org/EXTCDRC/Resources/CDRF_Paper.pdf?resourceurlname=CDRF_Paper.pdf) (accessed 2012-05-23)

11 OECD/DAC, 2006, op. cit.

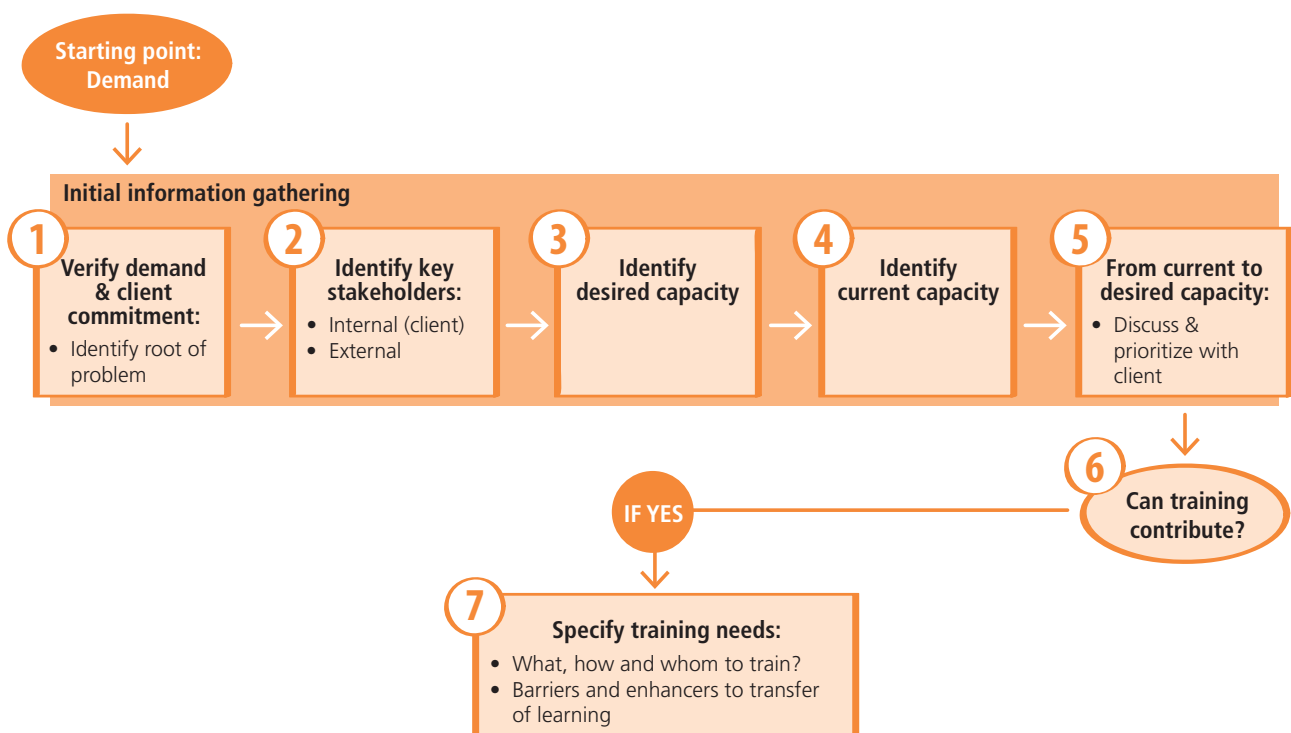
## THE TRAINING NEEDS ASSESSMENT PROCESS

All training activities should be initiated by a demand, which for example can be problems or potential opportunities identified by an organization or individuals within an organization. Demand can also be triggered by issues expressed by politicians or beneficiaries of the organization's services. Training needs assessment has to be a flexible process but a general guidance is to start with a broad assessment that gradually becomes more specific. Figure 3 shows the different steps of assessment described in the following sections. Some

of the steps can be carried out in parallel; however, it is crucial to determine if, and to what extent, training can contribute to achieving the desired capacity (step 6) before specifying the training needs (step 7).

Throughout the assessment process data has to be collected and analyzed. *For an overview of the methods and tools, please see section 3, Data Collection and Analysis.*

FIGURE 3: The training needs assessment process



## 2.1. Verifying Demand and Client Commitment

To ensure that the initial information gathering takes the right direction from the very beginning, the first step should be to verify the demand of the client. Has the client expressed a wish to address a certain issue? Is what the client perceives as being the issue also the actual problem? A **Problem Tree Analysis** may be helpful to answer the second question. It illustrates linkages between a series of problems, and can be used for identifying underlying problems and their extended effects, as well as aid in the identifying of ways in which to address the problem. Another method for finding the root of problems is the **Five Whys method**, where it is asked five different times, in five different ways, why the problem exists. *See Appendix 5 for more details on how to conduct a Problem Tree Analysis and Appendix 6 for the Five Whys method.*

Part of the initial information gathering is to determine how committed the clientele are to the desired organizational changes relating to the problem or potential new direction:

- Will management support and engage in the assessment to identify potential training needs?
- Are they willing to commit the necessary time and resources for the training, and to support the trainees in implementing what they have learned?

Effective training is similar to a partnership. Resources can be spent and trainees can be trained, but unless the trainees have the space and mandate necessary to adopt the learning into their organizations, it can become very difficult for any training-related results to be evident. Thus, the role of the trainer and the clientele compliment each other in supporting the trainees understanding, and later the application, of new skills or knowledge.

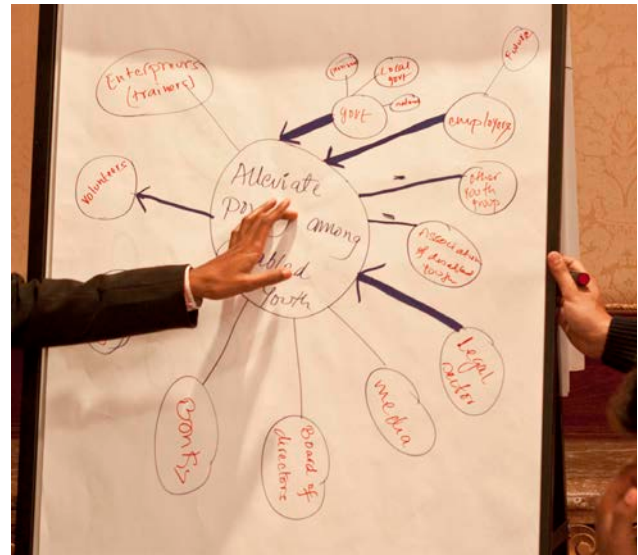
In order to determine if the clientele, specifically the management, support the training, it is necessary that they thoroughly understand the problem or potential new direction of the organization. Not only must they understand the changes that are necessary, but they must also understand the role that training has in contributing to achieving the necessary changes.

## 2.2. Identifying Key Stakeholders

Stakeholders are the individuals, groups or organizations that are influenced by or have an influence on the particular subject of the training needs assessment. They may have important information for the assessment, affect the result of the training, or be potential trainees. Consider the following individuals, groups and organizations when identifying the key stakeholders:

- Specific units or employees within the organization
- Funding agencies (e.g. international organizations or the national government)
- Politicians
- Private sector actors (e.g. competitors)
- Partners
- Contractors of the organization
- Beneficiaries of the services of the organization
- The training institution and trainers

A **Stakeholder Analysis** can help in deciding on which stakeholders are most important to involve in the training needs assessment. By considering what influence the stakeholders have on the subject of the assessment and their interest in the topic it can be determined who the key stakeholders are. *See Appendix 7 for further instructions on Stakeholder Analysis and an example of a completed analysis.*



Mapping of stakeholders and how they influence or are influenced by a project. © UN-Habitat/Hanna Hasselqvist

## 2.3. Identifying Desired Capacity

It is crucial that the client understands what they want. Why have they approached the training institution, and what do they want as the ultimate goal of the training? The trainer must not rely on assumptions. It is important to discuss, ask questions, discern, and define what results the client is expecting. It is imperative that the trainer understands what the client desires to achieve. How does the client see itself operating in an ideal state? What would the client's ideal or desired capacity be? What is the client's vision? The answers to these questions may be related to the employees, the organizational structure, various internal and external processes, partnerships or communication.

Having a clear understanding of the client's desired capacity will serve as a guiding framework enabling the trainer to ensure all efforts of the specification of training needs and eventual training programme will contribute to the client realizing their desired capacity.

## 2.4. Identifying Current Capacity

There are various different approaches to assessing capacity within a training context. There has been some debate about the best way, particularly between use of a **gap analysis** or **capacity analysis**. When conducting a gap analysis, the focus is on identifying specifically what lacks between how the organization and employees currently operate as opposed to how they would operate in their ideal state. When conducting a capacity analysis, the focus is to identify every capacity that currently exists by assessing what the organization and employees already have and do (including which processes are already in place). This manual acknowledges that both



approaches have valuable attributes and has included elements of both in the training needs assessment.

The trainer must understand what knowledge the client, the employees, and their organization, already have about the topic needing to be addressed. To better understand the client and its context the following questions can be asked:

- Is the client a leading organization whom others are learning from holding specific expertise within a certain sector, or are they struggling to improve their services?
- How does the client perform relative to their counterparts in other cities and nations?
- Do the employees know why the organization conducts things the way they do? Do they agree with the way things are conducted?
- Does an overarching framework of laws and policies exist in relation to the work of the client? Is it clearly understood by the client?

A **SWOT Analysis** can also be helpful at this stage. The method is used to map strengths, weaknesses, opportunities and threats of an organization. This information is used to understand how these factors play a role in the way the organization performs. *For instructions on how to carry out a SWOT analysis, see appendix 8.*

## 2.5. From Current to Desired Capacity

With a definition of the problem, the initial information gathered, and an understanding of both the current and desired capacity, the trainer has a solid understanding of the context. It is now possible for the trainer to identify what must be changed and developed in order to bring the client from its current capacity to the desired capacity. At this point, the trainer also knows what capacities already exist that can support this process of change.

The desired capacity serves to guide the specification of training needs. Keeping the desired capacity in mind will help identify the necessary areas of focus and decide on which data to collect and how to collect it.

It is important that the desired capacity is discussed and prioritized with the client before moving on to specifying the training needs. This will ensure that the data collected, under the guidance of the desired capacity, will contribute towards the understanding of the problem or new direction of the client's work.

## 2.6. The Key Question: Can Training Contribute?

With the information from the initial information gathering the training institution and client have to determine if training is the best option to move the organization from their current to desired capacity and to what extent training can contribute. Is the issue one of individual knowledge and skills or one of structures, processes, and other organizational elements such as the legal and political framework? If the case is the former, an issue of individual knowledge or skills, then training may be a good investment. However, if it is an issue of organizational structures or processes, it is very likely that training alone will not improve the situation. Asking the above question relatively early in the process prevents the client from wasting resources on training that will not have a

positive effect on the organization and enables the client to invest wisely in training activities.

### QUESTIONS TO DETERMINE WHETHER OR NOT TRAINING CAN CONTRIBUTE

- Does the client, specifically management, support the training?
- Does the client, including all affected employees, understand the reasons for the necessary changes?
- In general, is the client, including all affected employees, supportive of the changes?
- Does the client's organizational structure have the capacity to change?
- Does the change affect a working relationship with the client's partners? If yes, do the partners support the change?
- Are there financial resources for the training and necessary changes related to the training?
- Have you considered external factors, such as national regulations, corruption, or rapid changes in the area of which the client is operating, that would hinder the desired change and training cannot affect?
- Is training the most effective way to acquire the desired capacity? (Compared to e.g. redistribution of human resources internally, hire staff with the desired competences, engage in an internal or external mentor programme, or go on study visits.)

Training itself cannot change the way an organization functions. Rather training may reveal new methods to individuals, but it is up to the individual to apply the methods. Collaborated efforts are necessary for training to be effective. This particularly includes having management which is willing to support the trainees as they implement new methods, and an organizational structure which is open to change. As previously mentioned, environmental factors such as policies and legislation, which the client cannot affect, have an influential role in establishing and maintaining the organization's processes a certain way. These factors can, when acting as barriers, make it difficult for the trainee to apply their learning; rendering them unable to operate within their new capacity, and the training a waste of resources.

This is not to say that training is useless. There is a time a place for training, and if it is understood properly training can be a useful tool for initiating change, particularly if the training is designed to support the trainees in being flexible and innovative in dealing with institutional constraints.

It is important to discuss the limitations of training with the client and together decide on to what degree training can support and help the client meet its desired capacity. This ensures that the client does not have unreal expectations of the training, and that they understand their role in making the training effective in the long-term. Furthermore, it is important to understand *what* desired change the training can contribute towards, as a single training may not contribute towards all the desired changes or capacities.

## HOW TRAINING CAN AND CANNOT CONTRIBUTE TO THE DESIRED CAPACITY

The need for urban health services in a certain municipality has grown fast due to a sudden increase in population. Recent data published by an NGO shows that the majority of the population in the poor areas, in the outskirts of the city, do not have access to health care, despite the services being subsidized by the national government.

The health service providers know that they, at the moment, cannot afford to expand their facilities and employ new doctors, and that their patients cannot afford to pay more. They have united and chosen to speak to a training provider to discuss ideas that may effectively help them meet demand without necessarily having to make extensive investments. They present their ideas as an employee training in time management, an investment and training with a new electronic system to maximize efficiency in handling patient histories, or training some of the doctors to work as part of a mobile health clinic enabling them to treat patients while identifying and reducing common causes of sicknesses.

All these ideas initially seem to be good solutions, however upon conducting a training needs assessment it is discovered that the main reason why the poorest people do not receive health care is that they do not seek help at the clinics. There is no public transport outside the city centre and they cannot afford to pay for the transportation to the city centre where the hospital and clinics are located. Consequently, only improving the efficiency by training the health service providers in time management will not improve the situation. A combination of training to increase the efficiency with the establishment of a mobile health clinic is a more effective solution.

## 2.7. Specifying Training Needs

If the initial information gathering indicates that training can contribute to the identified capacity needs, the next step is to collect and analyse data on the specific training needs: what, how and whom to train. The **selection of participants** is crucial for the success of the training. Consider aspects such as:

- Current skills, knowledge and attitudes of the potential trainees
- Position and mandate to implement the learning into the work of their organizations
- Motivation to actively engage in the training

For a training with participants from several different clients it is often effective to have at least two participants from each organization – mixing competencies and roles. This way the trainees can support and learn from each other when back at work, leading to a training that will either affect different parts of the organization or affect the entire organization more holistically.

It should also be explored what **mode of training** is most suitable for the participants and their organizations:

- What depth of training is required – is a workshop enough or does it require a Master's programme?
- How does it affect the organization if key personnel leave the office to go on training for a week? Is it better for everyone to dedicate one afternoon every week, during one month, for training?
- How will the participants best learn? What pedagogy and methods should be used for training delivery?
- How can the participants be supported in applying what they have learned in their work after the training?

When specifying training needs it is also important to detect **potential barriers and enhancers to transfer of learning**. The following factors can act either as barriers (if they are lacking) or enhancers (if they are present):

- Management interest and understanding
- Support and resources to implement learning
- Motivation and aspirations of trainees
- Basic knowledge or skills of trainees (e.g. language skills, computer skills)

Certain barriers can be overcome by good training design or completely avoided by taking preventive actions. For example, if the training requires employees with working knowledge in English to attend, the trainer must speak with the organization to reinforce the importance of this as the training date gets closer in order to avoid other employees being sent in their place.

# 3

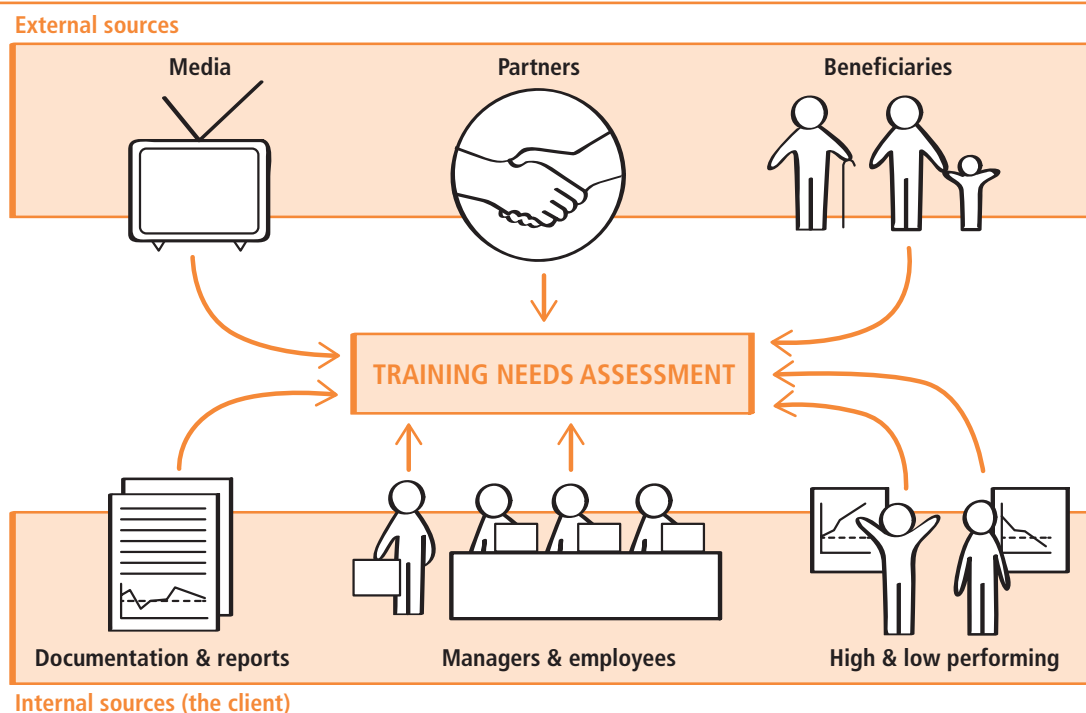
## COLLECTING AND ANALYZING DATA

Information has to be collected and analyzed throughout the assessment. First, the initial information gathering focuses on identifying current and desired capacity usually in a broader organizational perspective. Later, the specific training needs are analysed. There are a range of methods available for data collection and analysis. What methods to choose depends on the stage of the assessment, what type of data is to be collected, and the available resources both within the organization studied and the institute conducting the assessment. Most likely a mix of methods and sources of information will be required.

### 3.1. Sources of Information

When collecting data there are many possible sources, such as internal documentation (for example previous assessments or annual reports), media, partners, beneficiaries and employees. To maximize the accuracy of the assessment, it is recommended to use several of these options as they all provide different perspectives on the work of the organization. Internally, it is important to look at different levels of the organization, as managers and their staff may not agree on what the needs are. Also units and individuals that are high performing, as well as those with performance problems, should be studied. It is common to only focus on

FIGURE 4: Possible sources for data collection



the parts of the organization where capacity is lacking, but individuals and units with high capacity can provide useful information on what specific capacity is contributing to their performance.

### 3.2. Data Collection Methods

Assessing the needs of an organization inevitably means consulting people for information, which is a skill in itself. The main methods for studying people's opinions, skills, attitudes and behaviours are interviews, questionnaires and observations, see Table 1 for an overview of the methods.

**Interviews** can be carried out individually or in groups and be structured, with pre-determined questions, or unstructured to discuss a topic more freely. Interviewing different people within an organization is a relatively quick way of getting an overview of for example a problem situation or the current capacity of the organization. *See Appendix 1a for interview guidelines and Appendix 1b for a template of a Competency Interview to be carried out with high performing employees.*

**Group interviews** gathers a number of people to discuss a pre-determined topic. If carried out successfully, the method results in answers built on many people's opinions, which is suitable for attaining an overview of the issues and the context. *See Appendix 2a for group interview guidelines and Appendix 2b for an example of a focus group discussion.*

**Observations** are useful for understanding the work of the organization, such as through the study of behaviours; particularly regarding technical skills. It is often difficult to describe how a task is performed and observations can help in identifying people's actual behaviours. However, observations only give information on what is done, but it does not explain why it is done that way. To better understand the situation it is therefore recommended to combine observations with other data collection methods. *See Appendix 3 for observation guidelines.*

**Questionnaires** are a time efficient way of obtaining quantitative data and the method is particularly useful when the respondents are geographically wide spread. Questionnaires are often carried out to validate information from interviews or observations and to collect quantitative data on attitudes or knowledge of trainees, for example to determine how many employees have knowledge on a specific topic. *See Appendix 4a for questionnaire guidelines and Appendix 4b for an example of a pre-training questionnaire.*

No matter which methods are used for data collection, they have to be carefully prepared. How questions are formulated in an interview or questionnaire affects the responses. It is important to avoid asking leading or guiding questions. Also, remember that questions may be misinterpreted, especially in an intercultural context, or avoided because the respondent feels uncomfortable. It may prove helpful to not only ask about the respondent's own experiences but also ask about skills, behaviours and attitudes of colleagues.

TABLE 1: Strengths and challenges of different data collection methods

DATA COLLECTION METHOD	MAIN TYPE OF DATA	STRENGTHS	CHALLENGES
<b>Interviews</b>	Qualitative/ Quantitative	<ul style="list-style-type: none"> <li>• Allows for deep understanding</li> <li>• Flexible</li> </ul>	<ul style="list-style-type: none"> <li>• Interviewer might bias answers</li> </ul>
<b>Group Interviews/ Focus Groups</b>	Qualitative	<ul style="list-style-type: none"> <li>• Participants trigger each other</li> </ul>	<ul style="list-style-type: none"> <li>• Result depends on group dynamics (dominant personalities)</li> <li>• Interviewer might bias answers</li> <li>• time consuming to analyze</li> </ul>
<b>Questionnaires</b>	Quantitative	<ul style="list-style-type: none"> <li>• Easy to distribute</li> <li>• Anonymous responses possible</li> <li>• Online tools available for automatic compilation of data</li> <li>• Open and closed question structures possible</li> </ul>	<ul style="list-style-type: none"> <li>• Usually low response frequency</li> <li>• Questions might be misinterpreted</li> <li>• Open questions are time consuming to analyze</li> </ul>
<b>Observations</b>	Qualitative/ Quantitative	<ul style="list-style-type: none"> <li>• Good for studying actual behaviours of people</li> <li>• Provides information in its context (useful when the context is unfamiliar to the assessors)</li> </ul>	<ul style="list-style-type: none"> <li>• People might change behaviour when being observed</li> <li>• Time consuming to analyze</li> </ul>

Furthermore, it is important to remember that being carefully prepared does not only refer to the structure of the data collection method itself, but also about being culturally appropriate. This may mean that there is a certain way of asking a type of question, that interviews should be conducted by someone of the same gender as the interviewee, and that cultural idioms and physical behaviour are understood properly (such as whether to make or avoid direct eye contact). In order to carry out an effective data collection it is of utmost importance to understand and respect the local culture. To successfully achieve this, it is often useful to engage local trainers, who are familiar with the culture, both for the assessment, design and delivery of training.

### 3.3. Analyzing the Data

To transfer the collected data into valuable information the data has to be analyzed. Some data collection methods, such as video-recorded observations, require more time to analyze than to conduct, which has to be taken into account when planning the assessment and budgeting.

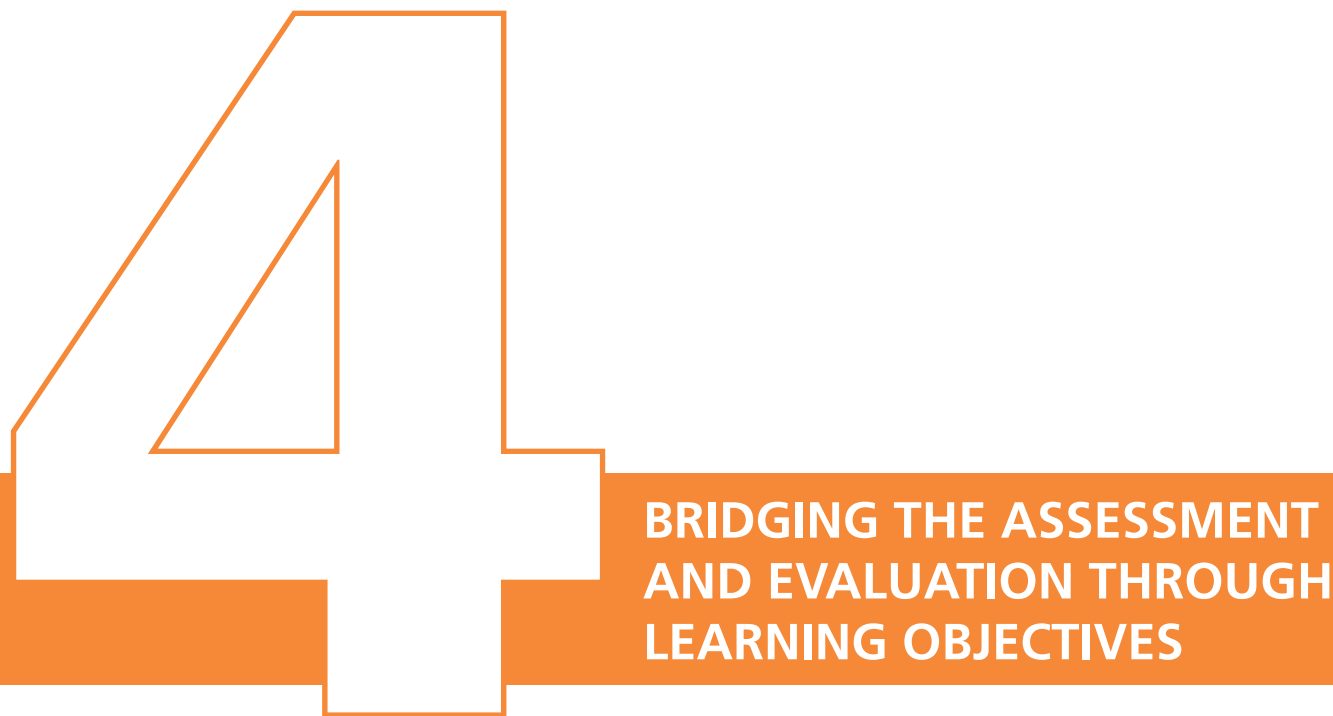
**KJ Analysis** is a method for analyzing qualitative data from many different sources, and identifying the key points without losing the holistic perspective. Important pieces of information from interviews, questionnaires, observations or previous analyses are written on for example post-it notes and sorted according to how they relate to each other. *For more information on how to conduct a KJ Analysis, see Appendix 9.*

The analysis methods referred to in Section 2, as well as the KJ analysis, are often useful to do in groups to discuss how responses or observations should be interpreted and what it means, for example in terms of capacity needs or potential barriers. Many of the methods, such as SWOT analysis and problem tree analysis, works well to do in collaboration with the client.

To facilitate the analysis of quantitative data the results can be compiled in a table format. Most online survey tools automatically do this. It is helpful to visualize the data in graphs or diagrams, both to better understand the information and to be able to present clear and convincing results to the client and other involved stakeholders, such as funders.



Using post-its to organize and analyze qualitative data. © Hanna Hasselqvist



## BRIDGING THE ASSESSMENT AND EVALUATION THROUGH LEARNING OBJECTIVES

### 4.1. What are Learning Objectives?

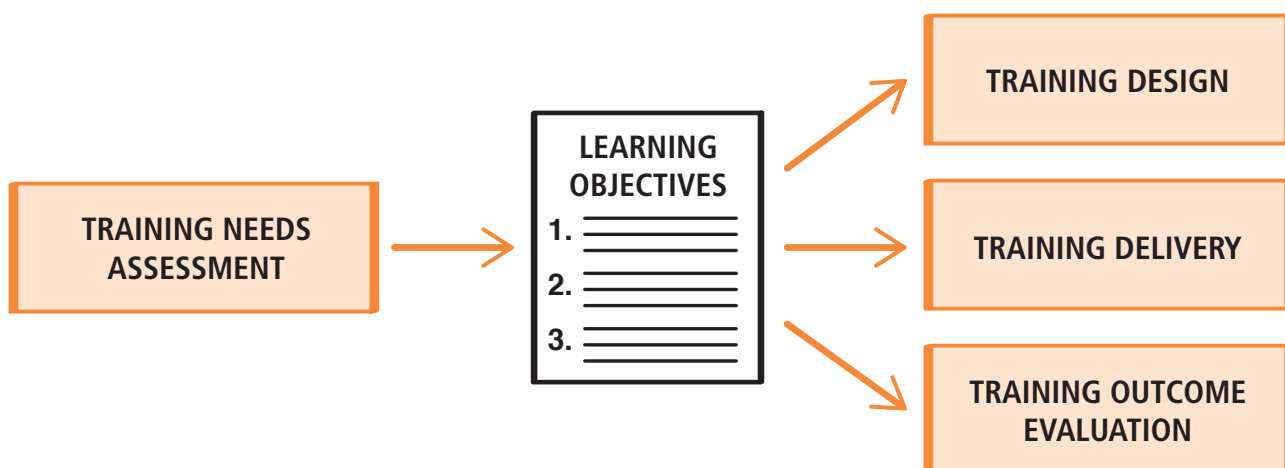
When data has been collected and analyzed, it is important to establish learning objectives before moving on to training design. Learning objectives clearly define what the goal of the training is. They define what it is that the trainees are expected to learn throughout the training, and what the trainees will be able to achieve post-training that they could not before. The learning objectives usually refer to increased knowledge, improved skills or changed attitudes, and may reflect one or a combination of these.

- **Knowledge objectives** refer to learning new concepts, rules, principles, and strategies, such as concepts for urban planning or land readjustment strategies.

- **Skill objectives** can be either technical, mental or social. Technical skills include constructing a road or learning how to use a computerized reporting system. Problem solving and decision making are examples of mental skills, while leadership and communication are examples of social skills.
- **Attitude objectives** refers to the way the trainees perceive and respond emotionally, physically, verbally and intellectually to others.

During the training design, the learning objectives will guide the process and make sure that all activities are contributing to learning that is relevant to the trainees. The learning objectives are also crucial when delivering and evaluating the training. By comparing the outcomes of the training with the learning objectives it can be determined whether or not the training was successful.

FIGURE 5: The learning objectives are key in all stages of the training process following the assessment



## 4.2. Writing Effective Learning Objectives

It is of utmost importance that the learning objective is established in conjunction with the client. They are a significant stakeholder in the training as they are the ones that must enable and support the trainees upon the conclusion of the training, to adopt the learning into the workplace. Thus, the objective must have the client's full support; specifically of those within management. To ensure that the trainees, their managers and the training institution all are aware of and agree on the objectives a **learning contract** and a **performance contract** may be helpful. The learning contract is a simple document, drawn up by the employee being trained and the trainee's manager. It includes a signed statement by each person that describes certain behaviours they commit themselves to in regard to the forthcoming training. A performance contract is a similar document, but signed by the trainee and the trainer. *See Appendix 10 for an example of a learning contract and Appendix 11 for a performance contract.*

The best learning objectives are clear and can easily be determined whether or not they have been met. This manual recommends that the objectives follow the **SMART** pattern:

- **Specific**
- **Measurable**
- **Appropriate** (in terms of culture: social, economical, political, etc.)
- **Realistic** (size, scope, etc.)
- **Time framed**

Having clear objectives will enable the trainer, trainees and their workplace to know whether or not the training was successful in achieving the objectives. An example of a well written learning objective which is related to improved public relations skills, specifically in communicating with the media, is the following:

*“After the training, the participant will be able to answer probing questions by the media, on behalf of their respective employer, by responding with facts or simple and smart politically correct answers.”*

*For more examples of learning objectives, see section 8.3.*

Objectives in effective training are not about how many people or who attended the training. Rather, they are specifically related to the material the trainees are being taught; meeting the overall purpose which is to develop their capacity to be able to accomplish their tasks in a more effective way. Having a specific objective will not only guide the direction of the training design, but it will also provide valuable criteria for the evaluation.

## 4.3. Learning and Behavioural Change

A clear and agreed upon understanding of learning objectives between the training institution and client, will enable the training institution to develop a training programme that effectively focuses on achieving the objectives within the client's context. The training will be designed specifically for the trainees to clearly understand the concepts and their application, as well as to support them in changing behaviours necessary to increased job performance.

Behaviour is a word that often causes discomfort when utilized within the context of development and training. It is a term that seemingly does not fit within the world of results based management, outputs, activities, and outcomes. Training objectives often shy away from using the term ‘behaviour change’ because it is difficult to change a persons’ behaviour; however, this is exactly what training institutions aim to do. If there is no change in the behaviour of trainees post-training, the training is a waste of resources.

If the learning from the training has been useful, relevant, understood and practical, it should be easy and beneficial for the trainee to adopt the learning into their workplace. This would result in changes not only in the individuals’ behaviour, but also in their organizations’ performance provided that there are no organizational or external barriers.

## 4.4. Translating the Learning Objectives into Training Design

The training is specifically designed to meet the learning objectives. It may be useful to understand training in the perspective of a **Results Chain**. This process ensures that the trainer has a clear understanding of what each training activity will result in. Each effort or activity on behalf to the trainer should lead to the trainees learning a specific skill which will help them reach their ultimate learning objective. *For more information on what a Results Chain is and how to use it, please go to Appendix 12.*

Remember to ask the simple questions when planning a training program. What will trainees learn from each element of training and how will it help them achieve the learning objectives? Is spending 15 minutes on a certain diagram necessary? Will it result in helping the trainees meet the learning objectives? Is there a better way of transferring this knowledge? The trainees will have different learning styles so using various pedagogical methods is important to ensure all trainees have the opportunity to fully grasp the concepts and benefit from the training.

Learning objectives are most likely to be met when the trainers follow-up and monitor the trainees as they implement their learning. Furthermore, trainers should be continuously improving their own knowledge by conducting evaluation and sharing the lessons learned with co-workers and colleagues. Many practical tools exist to ensure that follow-up, monitoring and evaluation are conducted effectively. Using a variety of tools is helpful. It ensures there is a holistic view or diverse perspectives consulted about the learning objectives as they are implemented and followed-up on. Using various tools also aids in understanding and maximizing the effects of the training. Consider using tools such as the **Follow-Up Plan**, **Five “W” Interview**, or **Learning Improvement Plan**. For further information on what these tools are, *see Appendix 13 for the Follow-Up Plan, Appendix 14 for the Five “W” Interview and Appendix 15 for a Learning Improvement Plan.*

PART 2:

# **Training Outcome Evaluation**



# 5

## INTRODUCTION TO TRAINING OUTCOME EVALUATION

### 5.1. Proving the Value of Training

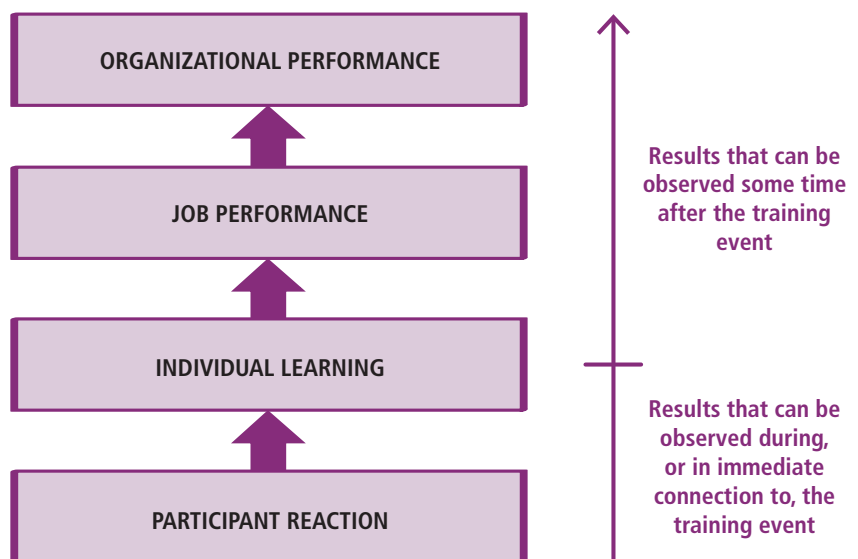
Without an evaluation or understanding of the result of the training it is impossible to determine whether or not the investment in the training programme was successful. Never before has knowing the value of an investment been more important than at this time of current financial crisis, which is increasing the global competition for investments. Therefore organizations, including training institutions and beneficiaries of training, must be increasingly accountable for every dollar. Training evaluations, proving the final outcome of the training investment, are more crucial than ever before.

Through a training outcome evaluation the training institution can prove the effectiveness of its services; that the institute delivers training programmes that improve the performance of the participants and their organizations. In the same way evaluations are critical to the organization investing in training, the client, to prove they are not wasting resources on activities which do not lead to positive results. The evaluation also provides important feedback that can improve future training cycles of both the training institution and the client. By learning from successes and mistakes of previous training experiences the training effectiveness can continuously improve.

### 5.2. Levels of Evaluation

Evaluations can be carried out on different levels: evaluating training events and participants' immediate reactions, evaluating participants' learning, evaluating job performance outcomes, and evaluating organizational performance and change. These levels are directly related to Donald Kirkpatrick's "hierarchy of learning", which describes how the result of each level depends on the previous levels<sup>12</sup>. For example, learning is unlikely to occur if the immediate participant reaction to the training is negative and improved job performance is highly unlikely if the participants have learned little from the training.

FIGURE 6: Four levels of evaluation



<sup>12</sup> Kirkpatrick, Donald L., "Techniques for Evaluating Training Programmes", *Training and Development Journal*, June 1979, pp. 78 - 92.

It is common to evaluate the participants' reactions in the end of an event, but the other levels are unfortunately not as often considered. Compared to evaluating participant reactions it is harder to evaluate learning, job performance and organizational performance. However, only evaluating the participants' reactions in the end of the event does not provide the training institution, nor the client, with sufficient information about the results. The higher levels have to be studied to see if learning has occurred and whether or not it has been transferred to the workplace. Only then it is possible to know if the training has had the desired outcome on the trainees, their job performance, and the organizational performance, and ultimately if the training investment has paid off.

To evaluate all four levels is particularly important for extensive training programmes and for completely new training programmes that have not been delivered before. For all training programmes the first two levels, participant reaction and learning, should be evaluated.

### 5.3. Meeting the Challenges of Evaluations

It is certainly more challenging to evaluate participants' learning, their job performance, and organizational outcomes, especially because there may be a lack of interest from many of the stakeholders to engage in evaluations after the event. Reasons include evaluations being perceived as too costly or as taking too much time from the people involved. Despite all the benefits to evaluations, sometimes the cost of an effective evaluation does outweigh the cost of the training programme. If the training participants are from different organizations or geographical regions it could also be difficult to keep contact with all of them once the training event is over. Another barrier to conducting evaluations is that they often do not fit within the time frame of typical short project cycles. It may be a relatively long time after the training event before any substantive result on a job performance level can be seen. Furthermore, some people find it impossible to isolate the effect of the training programme on the trainees' job performance from other factors within the organization. Lastly, some training activities are political in nature and when the primary interest is a visible activity training evaluations may be of low priority.

These challenges are important to be aware of and should be taken into consideration at the planning stage of a training programme in order to be able to respond effectively. This can be done by including evaluation in the training programmes' budget and time plan, deciding on a suitable extent of evaluation, and informing the client and other stakeholders about the benefits of investing in a training outcome evaluation.



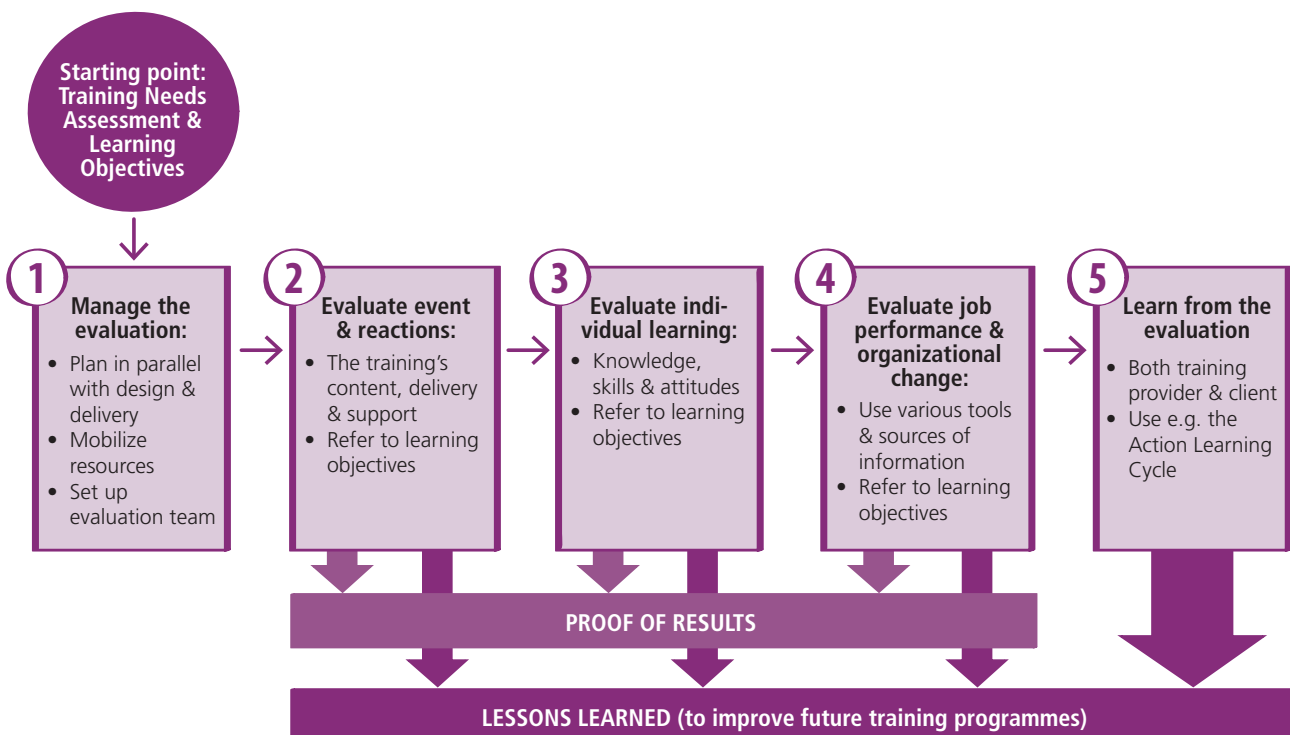
## MANAGING THE EVALUATION PROCESS

### 6.1. Planning the Evaluation

The training outcome evaluation has its starting point already in the training needs assessment and the learning objectives. It is planned in parallel with the design and delivery of the training and carried out both during training events and post-training. Figure 7 illustrates the different stages of the evaluation process and how they contribute to proving the results of training and collecting “lessons learned” to improve future training programmes.

While comprehensive evaluations are useful, it is important not make the process too complicated, time consuming and costly. Training outcome evaluation is a management tool and should be driven by the need to provide enough information for the client to make good decisions about future training investments, and for the training institution to continuously improve their training programmes. However, only focusing on the training intervention itself, without noting if learning has occurred and been transferred to the workplace, will not provide enough information for future improvements.

FIGURE 7: The training outcome evaluation process



## 6.2. Mobilizing Resources

Evaluations are an integral part of the training programme and the resources for training outcome evaluations should be allocated already when setting up the training budget. If evaluation resources are not mobilized by the time the training is complete there are less opportunities to find funding in time to conduct an effective evaluation. When setting up the training budget it may be necessary to negotiate with funders, making the value of investing in evaluations explicit, to convince them to include funds for post-training evaluations. Re-prioritizing activities can also be considered to make funds available for evaluation. Less interventions or fewer participants, but a good follow-up and evaluation, is likely to have greater impact than carrying out many interventions that are never evaluated.

Resource mobilization might work slightly different for those training institutions which only conduct evaluations. However, it is equally important to be able to convince potential funders of the importance of evaluations. Previously conducted evaluations can be used to prove the value of evaluations, as well as the value and quality of the training institution's training programmes, and consequently making resource mobilization easier.

The most common sources for funding of training programmes are the training institution itself, the client, the national government, and various types of international agencies. It is wise to not rely solely on one source of funding but to work with multiple sources. There are different benefits of evaluations to the different types of funders, and the specific benefits are useful to stress in the negotiations for funding.

**Training institutions** should invest in evaluations to prove the effectiveness of their training programmes and to learn from the process in order to improve future training activities. Proof of what learning and performance change the training results in is valuable to promote the institute's training programmes, especially when mobilizing resources.

**The client** benefits from evaluations by gaining knowledge of whether or not their training investments paid off, and why it did or did not. By evaluating the training the client can make better informed decisions on future training investments.

**National governments** often provide financial support for training of local governments. Evaluations are an opportunity to be accountable to the tax payers by proving that their money is invested wisely in activities which have a positive effect on the performance of local authorities and are likely to improve the services provided to citizens. In addition, the national government can improve the overall training effectiveness of the country by making sure that the trainings they support are evaluated and that the lessons learned are documented and shared.

**International agencies** and other funders need evaluations to provide accountability and to show transparency of the training investment as well as to demonstrate results. The latter is important as many international agencies, governments, foundations, corporations, and other funders are increasingly looking for partners which operate comparably to Results-Based Management. Like all investors, funders of development projects appreciate knowing the results of their investment, as they too, are often held accountable to other stakeholders.

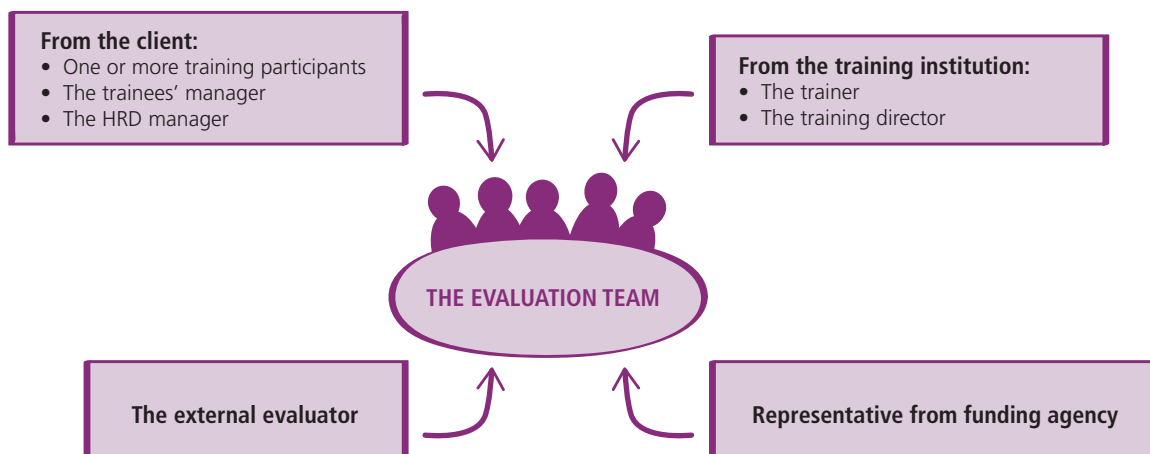
## 6.3. The Evaluation Team

A training outcome evaluation requires engagement from several stakeholders and ideally they should all be represented in the evaluation team. At all times an internal evaluation has to be conducted by members of the training institution. This should include, but not exclusively, the trainer or training facilitator.

While it is important for the training institution and particular trainer to evaluate their own work, it is also advisable to use external evaluators. This means someone who was not directly involved in the training, in the organization of the training institution or client, or in the organization who funded the training. An external evaluator is less likely to be biased by personal interests, which adds credibility to the outcome evaluation. It also increases the likelihood of accurately identified results, which is crucial for the evaluation to be of value.

Training institutions usually have access to a large network. Draw upon this when forming the evaluation team. It may be advisable to include peers, technical experts, or civil society in the evaluation team. Consider including an internal member of the training institution, or trainee, if possible. Often a mixed team comprised of individuals from various related fields, will provide useful insights from their mix of different strengths, perspectives, vested interests and motivations.

FIGURE 8: Who to involve in the evaluation team?

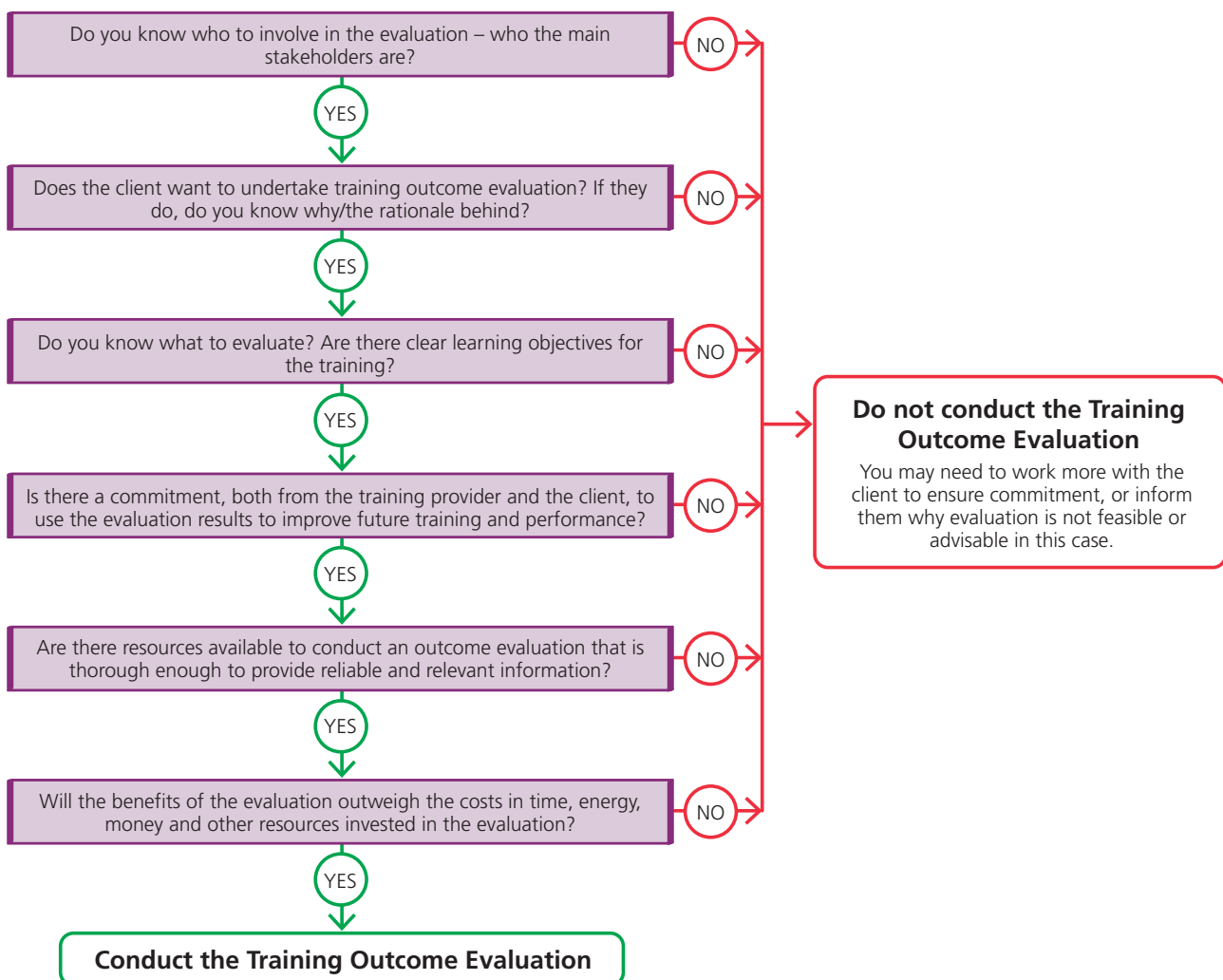


## 6.4. Reality Check: Do Benefits Outweigh Costs?

Before conducting a training outcome evaluation, potential barriers should be considered and the benefits of the evaluation weighed against the costs. There may be cases where lack of engagement from the stakeholders would impede the evaluation or make the results less useful. In some situations it may be necessary to stress the value of evaluations to the client or other stakeholders, before conducting the evaluation.

While this manual suggests that evaluations should be built into all training programmes, there are some situations where conducting an evaluation may not make sense as the costs simply outweigh the benefits. The decision to not conduct an evaluation should be consciously made and the reasons well understood by the training institution and client. In figure 8 is a checklist on what needs to be in place before conducting a training outcome evaluation. This is useful in supporting the decision on whether or not to proceed.

FIGURE 9: Checklist to support decision on whether or not to conduct a training outcome evaluation





## EVALUATING EVENTS AND PARTICIPANT REACTIONS

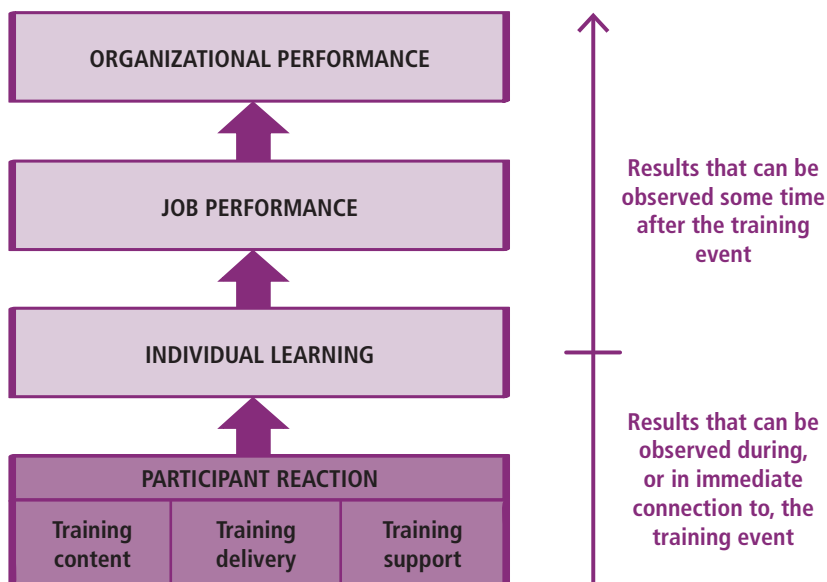
### 7.1. Participant Reaction Affects Learning

Evaluating training events and the participants' reactions towards these events are the most common type of evaluation conducted and unfortunately most evaluations end at this stage. Evaluations that only assess the training events and the participants' reactions are inadequate and insufficient in providing information to determine if the training was successful. From this type of evaluation it is not possible to draw any conclusions on whether or not the learning objectives have been met and the training investment paid off.

However, it is still important to evaluate training events and participants' reactions. Evaluating events and reactions contributes to:

- An understanding of later evaluation results, such as why participants did or did not learn or increase their job performance after the training.
- Determining whether or not the training was culturally relevant. The trainer can often tell immediately from the participants' reactions whether or not the training was relevant.
- Ideas on how to improve the specific event or decide if it should or should not be included in similar future training programmes.
- Providing useful information for adaptation of follow-up activities and preparation of future training of similar groups.

FIGURE 10: The role of evaluating participant reaction in a training outcome evaluation



Participants' reactions to the training event are directly related to the event itself, which is made up of three key components: content, delivery, and support. These areas must all result in fairly good reactions from the participants in order to support individual learning.

A very important source of information on the participants' reactions is the trainer's observations of the participants' reactions during the event. Other ways of evaluating events are questionnaires and interviews.

**End-of-event questionnaires** can include closed and open questions on whether or not the trainees found the content appropriate, enjoyed the delivery, or wished to comment on the training support. To maximise the response rate it is recommended to include the questionnaire as a compulsory part in the end of the event. *See Appendix 4c for an example of a post-training evaluation sheet and Appendix 4a for general information on questionnaires.*

**Group interviews** or **semi-structured interviews** may also serve as good ways to collect data at the end of an event. For more information and examples on how to use these methods, *see Appendix 1a for interviews and Appendix 2a for group interviews.*

Evaluating the specific training events and the reactions or responses they receive will ensure that the events included in the training are useful and effective. The better the analysis of these, the better the training will become for future training programmes, thereby maximizing the client's investment and encouraging further investments into training.

## 7.2. Training Content

The training content is the material that is presented at the training, not how the training is presented. The training content should be driven by what the training is expected to achieve; the learning objectives. It must be relevant both to the trainees of the least and greatest capacities. The trainees need to be able to relate to the content so that they can digest it and understand how to apply it to their lives and work.

In addition to the learning objectives, training content is decided upon based on the client and trainees' current capacities. Although the content reflects what is possible for the training to achieve the training delivery methods greatly influence the trainees ability to understand and apply the content. Therefore, having exceptional training content does not necessarily imply that all lessons and skills will be learned and applicable by each of the trainees.

Training content usually focuses on the following key areas: increasing knowledge and understanding; improving skills (technical, mental and social); changing attitudes and values; and promoting creativity and ingenuity.

Evaluating the training content will provide valuable insight about how the content of similar training programmes can be modified to be more effective in the future. It is often beneficial to ask questions such as:

- Was the content relevant to the trainees work?
- Was the content appropriate to the trainees' current knowledge or skill level?
- Which content did the trainees find most valuable?
- Did the content align with the learning objectives?

## WHEN TRAINING CONTENT DOES NOT MATCH THE CAPACITIES OF THE TRAINEES

An urban mobility workshop is held in a rapidly growing, sprawled city. The workshop is facilitated by transportation engineers and focuses on how to use low-cost, time efficient trains as the solution to mass public transportation during commuter hours. This would free up the roadways for commercial purposes. They also speak about the potential challenges and of engineering accomplishments in other similarly-challenged cities.

The city officials are excited about this and wish to start building the commuter trains immediately. It is soon evident to the training provider that they did not realize the officials invited from the Ministry of Transportation, were not the ones with engineering background as they thought. This explained why the officials' eyes glazed over when the detailed engineering blue prints of their and other cities were discussed. It became evident that it was unlikely the technical aspects of implementation and the potential challenges were understood in the level of detail they needed to be. The training content was relevant to the Ministry of Transportation, but not relevant to the trainees' capacities. In order to pursue their new visionary transportation goal, having a commuter train, the city will need to bring in engineers to analyze the pros and cons for this specific city as well as learn how to build the system.

## 7.3. Training Delivery

The training delivery, how the training is conducted, will influence the trainees level of learning and affect their reaction to the training experience. It is of utmost importance that the training institution and trainer have taken the time to understand what needs to be communicated and how to do it in an appropriate way that will ensure it benefits both the trainees and client. After the training these efforts have to be evaluated; was the training content delivered in way that supported all participants' learning?

Trainees will have many different learning styles, therefore it is key that training institutions can adapt the training content and share it through a variety of different methods. The training delivery must be suited for trainees representing both the least and greatest capacity present at the training. Experimental tactics, also known as learning by doing methods, can really benefit the transfer of learning, particularly among adult trainees. This is not to say that traditional expert lectures are ineffective, but various types of training methods should be explored. Having an expert talk for hours about any topic could quickly lend itself to loose the trainees attention if it did not include case studies. Better yet, the training could include site visits and stakeholder discussions giving trainees first-hand exposure of the topic presented.

However, it is important to recognize that training delivery, no matter how ingenious and engaging it may be, could result in very little individual learning and no change in job performance if the methods used are not culturally appropriate. The training institution needs to know the trainees' context. Different cultures, societies and communities operate with

different cultural norms. Level of literacy also has to be taken into account. These factors can dictate who may attend the training, who should facilitate the training, which delivery methods and examples are appropriate, what the trainees' expectation of the training is, etc. For example, sometimes it is necessary to design the training to specifically target women as their learning may be hindered if the training is dominated by men.

It is difficult to evaluate the pedagogy without evaluating the content; however it is essential do in order to determine how and if the training delivery has contributed to the learning results. Here are some ways to determine the level of satisfaction with the training delivery:

- Simply ask and provide opportunities for trainees to respond, either anonymously (if the level of trust and openness seems low, which could be a clue that the process is not working), or openly.
- Track the tardiness or absenteeism which is not tied to some legitimate excuse.
- Track the presence of disruptive and other resistant behaviour.
- Hold post-session critiques.

Observe the following:

- In mixed gendered trainings, did men and women participate?
- With participants of all ages in the same training, did all participate?
- Did managers and subordinates attend the same trainings; did all participate?
- Were their dominant personalities in the training? If so, were their statements challenged by non-dominant personalities?

It is important to also evaluate the cultural aspects of the training:

- How did the age, gender, social status of the trainer and trainees affect the training?
- Was the training delivered in such a way that all trainees could fully participate?
- Were there any issues that may be related to cultural inappropriateness of the training delivery?

## 7.4. Training Support

Training support is what happens before, during and after the training, often behind the scenes, to make the training possible. Effective administrative and logistical support enables the training program to run smoothly, which allows the trainees to fully concentrate on the training activities. Poor training support, on the other hand, will distract the training participants and hinder their learning. Consequently, lacking training support can undermine the whole training, preventing any positive results.

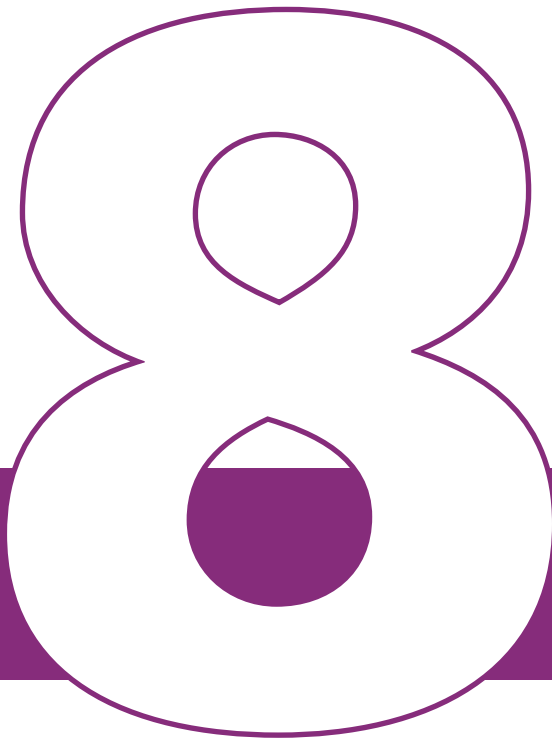
Administrative support includes factors such as the application process, information sent out before the training, being available to answer questions, making material accessible during and after the training, and distributing contact information. Some logistical factors include the training venue, meals, transportation, training schedule, sound system and visual aids, and interpretation facilities.

Training support must be included when evaluating the event and the participants' reactions. It is also helpful to monitor and adjust the support during the training. If, for example, the room for the training is too big for all the participants to hear the speaker and the other participants, action should be taken immediately to solve the issue.



Participants filling in post-training evaluation sheets. © UN-Habitat/Bridget Oballa





## EVALUATING INDIVIDUAL LEARNING

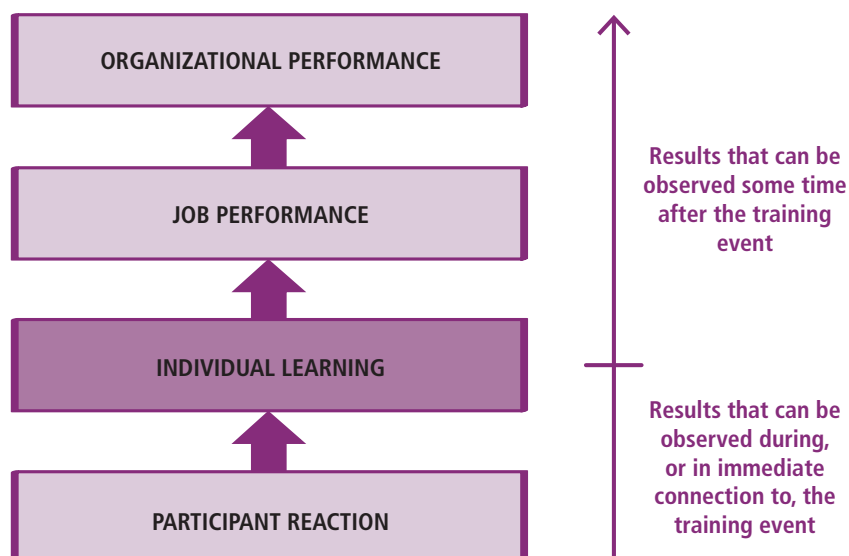
### 8.1. Why Evaluate Individual Learning?

To evaluate individual learning is different from evaluating the training event and participants' reactions, despite both being evaluations on an individual level. It might be tempting to assume that if the participants find the training interesting and useful to their work, they also learned a lot. However, there is no guarantee of learning taking place, no matter how much the participants appreciated the training. There is indeed a linkage between the two; a positive participant reaction to the training is required for the training to result in learning. If the training participants for example considered

the training content to be irrelevant to their context and the schedule for the training too tight, the likelihood of any useful learning is very poor.

Evaluating what individual learning the training resulted in, is an important step in evaluating the outcomes of the training. It proves how effective the training actually was, not how it was perceived, in terms of relevance to the trainees and delivery of the training content. If the trainees do not learn from the training, the desired changes in the clients' organization will not take place.

FIGURE 11: The role of evaluating individual learning in a training outcome evaluation



## 8.2. What is Learning?

Learning is directly related to increased knowledge and understanding; improved technical, mental or social skills; or changes in attitudes or values. The knowledge, skills and attitudes evaluated should be the same as specified by the learning objectives set up before the training. As described in Section 4, the learning objectives have to be specific and measurable, otherwise learning results cannot be evaluated.

Learning is not equivalent to behavioural change, but if the conditions are right, learning can lead to changed behaviours of the training participants. This highly depends on the trainees' motivation, and training programmes should be designed to motivate the participants to adopt new behaviours required to implement the learning into their work. Consequently, behavioural change is what links individual learning to improved job performance and ultimately organizational change.

## 8.3. Methods for Evaluating Individual Learning

There are many ways of evaluating individual learning, what method is best depends on what type of learning (knowledge, skills or attitudes) is to be evaluated. For all methods, the post-training level of knowledge, skills or attitudes should be compared with the level identified during assessment, as well as with the learning objectives. Refer to the learning contract set up before the training in order to find the learning objectives and commitments of trainees and their managers. *See Appendix 10 for an example of a learning contract.*

It is sometimes argued that the participants in training would have learned on the job, without taking part in training. This should be considered already during the training needs assessment. A good training needs assessment explores if the participants are likely to learn on their own or if training is required. However, in a situation where the value of training is uncertain, despite a thorough assessment, it may be useful to have **control groups**. Ideally, the control group should be similar to the training participants in terms of job, age, experience, skill/knowledge level, etc. The control group is given the same pre- and post-training tasks as the training participants, but they do not receive any training. By comparing the results of the training participants with the results of the control group it can be established if training contributed to the learning, which can also guide future decisions on when to conduct training.

**Competency tests** can be used orally or in writing to test principles, facts and other knowledge-based objectives. Developing a competency test usually involves the following steps:

1. Outline what is to be covered by the test based on the learning objectives.
2. Decide on test format and time to complete the test. The questions can be open, multiple-choice, true/false, an essay, or a combination of all types.
3. Construct questions or tasks for the test. The questions should be clearly written and on a reading level appropriate for the test takers.
4. Check that questions are job-related, cover all areas of competency included in the training, and that there are enough questions to ensure reliability of the test.

### EXAMPLE OF COMPETENCY TEST

A training of government officials in renewable energy technologies has the following learning objective:

*"After the training the participants will have knowledge of the main types of renewable energy; bio gas, wind power, hydro power, tidal power, wave power, solar energy, and geothermal energy. They know the pros and cons of each type, particularly in relation to their local context. Additionally, the participants have knowledge of the technology behind each type of energy production, including costs and environmental aspects."*

The participants' learning is evaluated by giving them a written test, both before and after the training, with questions on the aspects of renewable energy mentioned in the learning objective.

**Demonstrations of skills** are particularly useful for evaluating physical (technical) skills. It is a type of observation conducted in a controlled environment, as similar to the real work situation as possible. *See Appendix 3 for general information on observations.*

### EXAMPLE OF DEMONSTRATION OF SKILLS

A training of urban planners in using a computer program to create drawings of city plans has the following learning objective:

*"After the training the participants will be able to use the software to produce clear drawings of a current city plan as well as visualizing proposals for future changes, both on a city level and in detail (scale 1:500)."*

The software is new to all the clients and their employees. After the training the trainees are asked to demonstrate their skills by producing a drawing of a specific part of their city using the software. To see whether or not the improved skills are a result of training, both employees who took part in the training, and employees who have used the software the same amount of time but without training, are asked to demonstrate their skills. The quality and accuracy of the drawings, as well as the time required to produce them, are compared between the groups.

**Questionnaires** can be used before and after the training to evaluate changes in attitudes. The result of the evaluation very much depends on the accuracy of the assessment of the trainees' attitudes. To avoid the bias and subjectivity associated with self-assessments, a questionnaire on the trainee's attitudes can be administered to others such as the trainee's supervisor, subordinates, and colleagues. *Please see Appendix 4a for general information on questionnaires.*

#### EXAMPLE OF WHEN TO USE QUESTIONNAIRES

A training of local government leaders in gender sensitivity has the following learning objective:

*"After the training the participants will have increased awareness of issues regarding gender sensitivity, as well as apply appropriate measures in their work to ensure gender equality. This includes paying equal attention to male and female colleagues' opinions, avoiding language and behaviours that can be considered sexual harassment, and considering both men and women when engaging with the local community."*

To evaluate the changes in attitudes of the training participant, a questionnaire is sent to the participants' subordinates and colleagues both before and after the training. The questionnaire is addressing the issues described in the learning objective and the respondents are asked to rate the attitudes of the training participants on a five-step scale. By comparing the rating before and after the training the changes in attitudes can be established.

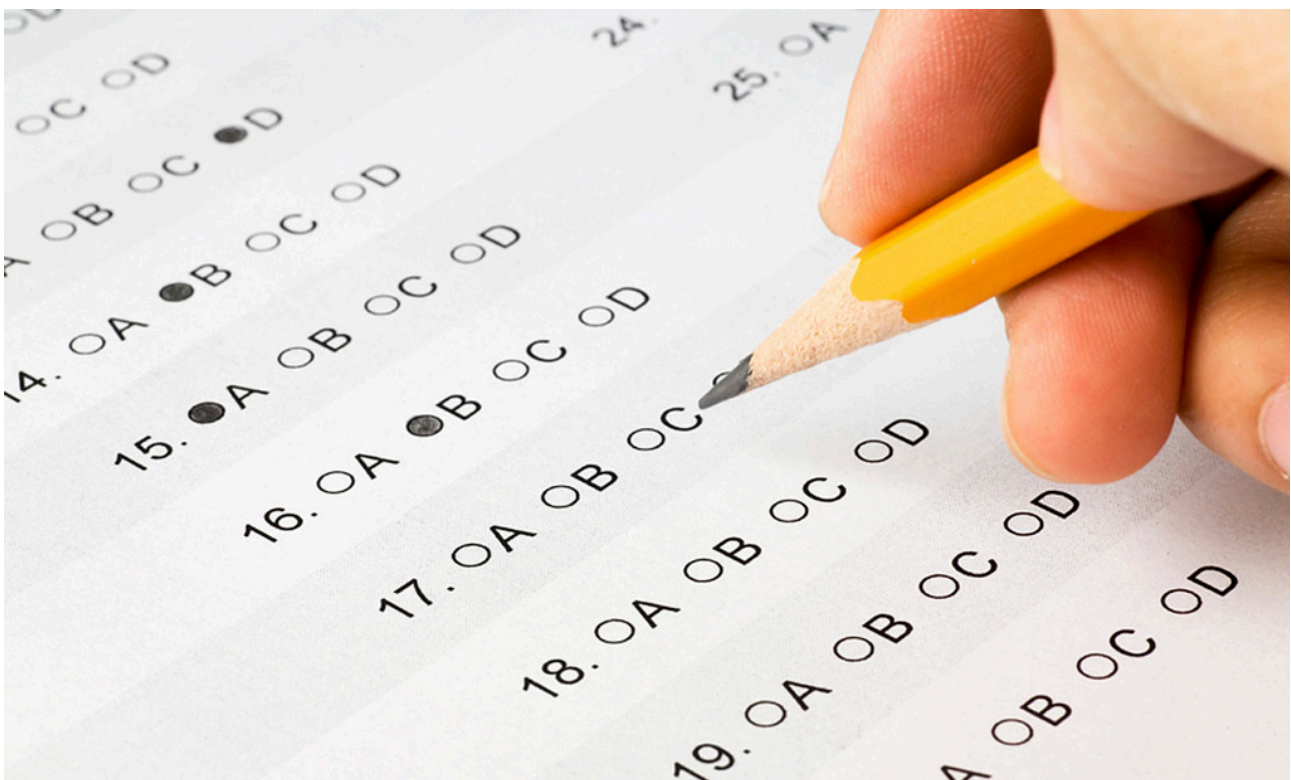
**Assessment centre techniques** are used for evaluating knowledge, skills or attitudes of a small group of people. Scenarios or cases make the starting point of the evaluation and the participants receive a task to solve related to the scenario or case. The session is video recorded and later studied, to evaluate the skills, knowledge, or attitudes of the individual participants. Mental or social skills, which cannot easily be evaluated in a traditional demonstration, are possible to study with assessment centre techniques. Scenarios and cases can also be used to evaluate learning of individuals directly, not always in groups.

#### EXAMPLE OF ASSESSMENT CENTRE TECHNIQUES

A training of engineers employed by public sector in problem solving has the following learning objective:

*"After the training the participants will have improved problem solving skills. They will be able to explore the problem to find the root and contributing factors, creatively find several solutions, and select and argue for the most suitable solution."*

Before the training the engineers to be trained took part in an assessment centre where they, in groups of four to five, were presented with a critical situation related to their job and asked to decide on a solution. A similar task was presented to the same groups after the training. Both sessions were filmed and analyzed. For each participant the sessions before and after the training were compared in regards to how well they reasoned around the cause of the problem, how many ideas for solutions they came up with, and how well they motivated the proposed solution.



Multiple choice test. © Antonio G.



## JOB PERFORMANCE OUTCOMES AND ORGANIZATIONAL PERFORMANCE

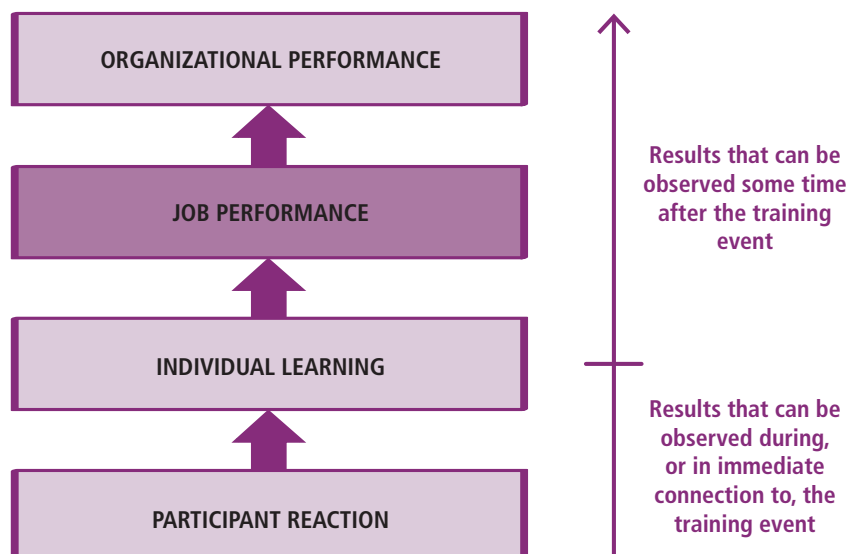
### 9.1. Why Evaluate Job Performance?

Evaluating job performance is different from evaluating individual learning. What has to be evaluated is how the trainee applies the knowledge or skills from the training. Trainees may or may not apply everything they have learned; it is easier to learn something than to change existing behavioural and structural patterns. Furthermore, when learning can be observed it may still take a while before it has any effect on the job performance. Evaluating job performance is the only way to evaluate whether the individuals' learning has resulted in behavioural change and improved performance at work.

Training outcome evaluations are specifically designed to determine the cause and effect of relationships; from the individual contact with the training institutions and identification of performance discrepancies, to determining whether the investment into training is causing any impact on job performance.

Whether or not the training has successfully achieved its outcome, it may have achieved unexpected and unpredicted results. This can be both a pleasant or disconcerting surprise. Training outcome evaluations are a good mechanism to understand the causes of the changes, or lack of changes, as well as causes of any unintended consequences.

FIGURE 12: The role of evaluating job performance in a training outcome evaluation



## UNINTENDED CONSEQUENCES OF TRAINING

A clerical employee is sent away to learn how to operate the agency's new word processor. She comes back and begins to produce volumes of printed material. The training outcomes, in this case, can be measured fairly easily. However, her output intimidates others in the secretarial pool of workers. As a result, they begin to "sabotage" her work efforts, which, in turn, affect the newly trained clerk's motivation and work performance. Training impact recedes. Some might attribute the poor performance to the training.

### 9.2. Methods for Evaluating Job Performance

Evaluating job performance will reveal if there has been behavioural change in the trainees post-training, and if it can be directly related to the training. This is only possible using specific evaluation criteria. Evaluators can never be 100 per cent certain that the changed behaviour is directly related to the training. However with smart training outcome evaluation processes (beginning during the training needs assessment and training design phases), it is possible to ascertain, with a certain degree of confidence, which behavioural changes are a result of the training.

To be able to see changes in performance it is useful to apply the same methods when evaluating outcomes as during the assessment. If, for example, the trainees' managers were interviewed about the trainees' job performance before the training the same questions on level of performance should be asked during the evaluation. **Interviews** and **questionnaires** can both be used to evaluate job performance. However, it is important to keep in mind that they are limited. For example, interviews only provide the opinions of the interviewee, which is not necessarily the same as the actual job performance of the trainee. The design, structure and content of interviews and questionnaires strongly determine the results and should be carefully thought through. *Please see Appendix 1a for more information on and examples of interviews and Appendix 4a for questionnaires.* Regular conversations can also contribute to the evaluation. Questions asked in an informal and relaxed atmosphere is a good way of getting a first idea of the job performance outcomes.

Another method to assess if individual behavioural change has occurred at the workplace is the **Job Shadow Performance Test**. This tool is made up of two parts. The first part is conducted during the assessment when specifying the training needs. At this point, personnel conducting the assessment will job shadow some of the client's employees who hold key positions relating to the client's problem or improvement areas. What they do and how they do it are watched. Notes and observations are recorded. The second part is conducted after the training and once the trainees have had opportunity to apply their learning to their workplace. While more time consuming, with discernment, the changes in behaviour can be accredited to the training. *Please see Appendix 16 for more details on Job Shadow Performance Testing.*

### 9.3. Individual and Organizational Level Performance Barriers

As mentioned earlier, there are many barriers to the transfer of learning. Some might not be possible to identify during the assessment, and evaluations make a good opportunity to identify them and prevent them from hindering future training programmes. Factors that may affect the trainee's application or lack of application of the learning are often organizational structures, or legal and political frameworks beyond the trainees' control. Did management support the training? Did the client have unrealistic expectations? Did the client have enough resources to implement the learning?

However, if there have been individual **Action Plans** developed at the training event, outlining specific ways the trainee can incorporate the learning, and none or few are applied, the lack of application is likely on an individual level. As a training institution, do not feel defeated if little change has occurred in individual job performance, or if learning from the training not been applied. Instead, investigate further. Perhaps the trainee did not agree that a new process was necessary for the organization and wanted to maintain the status quo; that they do not believe the learning will benefit their organization or themselves; or, that they do not understand how to apply the training. Their responses can be used to better prepare for future trainings, and to better understand how to interact with the client so that all employees support the training. *Please see Appendix 17 for more details on Action Plans.*

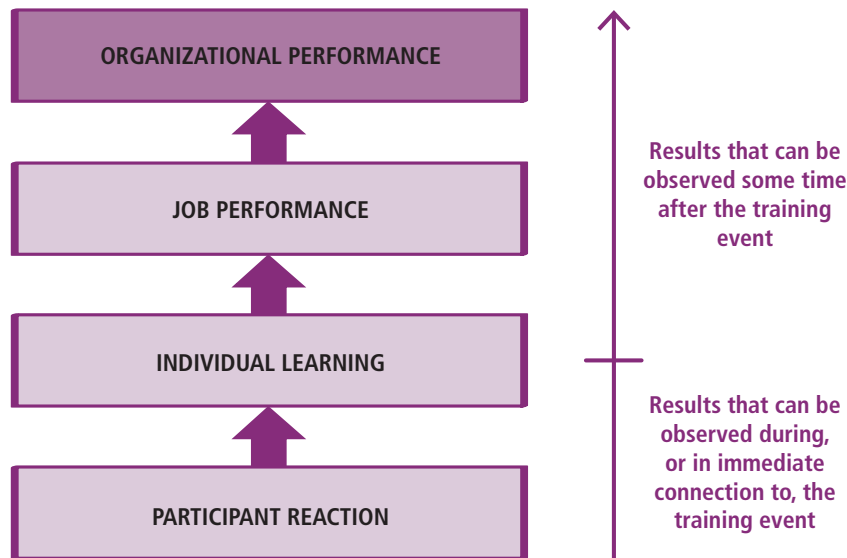
### 9.4. Evaluating Organizational Performance and Change

Evaluating organizational performance and change is challenging. The greater the influence and reach of the trainee's job across the organization, and the more general the learning objectives, the more difficult it is to separate the outcome of a training intervention from all the other factors that are influencing the organization's performance. This doesn't mean the evaluator should not try to evaluate the organizational impact of these kinds of training interventions. Rather, it does suggest that the magnitude of the challenge is worthy of more rigorous attention by the evaluator.

Some types of organizational performance are easier to evaluate than others. For example, the organizational performance related to the training of a clerical staff member on the client's new word-processor can be directly measured by his or her ability to produce printed material. The organization's performance in producing printed material is directly related to the performance of the employee. With production increasing, organizational performance also increases. However, evaluating the organizational performance as a result from sending the chief executive officer to an executive development seminar is much more difficult to track and measure.

Organizations are multifaceted and are made up of individuals working in different areas, each with their own purpose and specific role. The best way to conduct an organizational training outcome evaluation is to utilize a combination of the tools already discussed because different organizational roles are best evaluated by different evaluation tools. Conducting a variety of evaluation tools as discussed in this manual and found in the Appendix, such as interviews, group interviews, job shadow performance testing and questionnaires, would strengthen an evaluation. If the particular aspect of

FIGURE 13: The role of evaluating organizational performance in a training outcome evaluation



organizational performance that the training aimed to improve is regularly documented by the client, these recordings can also be a source of information for the evaluation.

Not only do multiple tools enable the responses to be cross-checked, ensuring that the data collected is not skewed, they also ensure that no singular voice or bias will overpower the opinions of others. Part of conducting a good training outcome evaluation is giving many individuals opportunity to respond. However, it is not about how many different evaluation tools are used. More importantly, the emphasis must remain on careful selection into which evaluation tools are used and which stakeholders are involved.

For example, interviewing only the trainees will not produce a balanced evaluation. They may have applied the training and found it quite useful, having learned a new framework in which to see and perform their tasks. However, while the trainees may have seen great improvements in their work and feel that they accomplish their tasks better, their colleagues and managers may have noticed little to no change in their overall productivity of the organization. A true evaluation of the training's effect at an organizational level can only be measured and understood when speaking with various members of the organization. Changing the way something is done, such as how a report is written, is not necessarily the same as increasing individual or organizational efficiency, effectiveness or productivity. Often, these skills still rely on how others, in addition to the trainee, will implement them.

### EVALUATING ORGANIZATIONAL PERFORMANCE

An evaluator conducted a training outcome evaluation following a skills up-grading training by conducting interviews and sending questionnaires to trainees and additional employees with key related positions. Upon receiving the results, he chose to specifically focus an additional evaluation tool on the organization's internal communication. While this was not something he expected to evaluate, the original results of the large scale evaluation has indicated that improved communication may have been an unexpected benefit of the training. He decides to conduct a group interview with interviewees from various related positions within the organization. He chose a group interview because it will quickly provide him with thorough information on the new area identified, without taking up time from many of the client's employees.

In order to truly understand how influential the training process is, from assessment to evaluation, some use an evaluation tool called **Outcome Mapping**. This tool evaluates the training programme based on the change in trainees' behaviour, activities and actions from before and after the training. It determines if trainees did or did not implement the lessons learned into their workplace. In order to do this best, there needs to be a thorough understanding of, and information gathered on, how things operated before the training and enough time passed to provide trainees the opportunity to implement their learning into their workplaces, before the comparison may take place. It may be helpful to consider the Outcome Mapping as two job shadows, one before the training and the second after, where differences are compared, if there are any. *For more information on Outcome Mapping, see Appendix 18.*

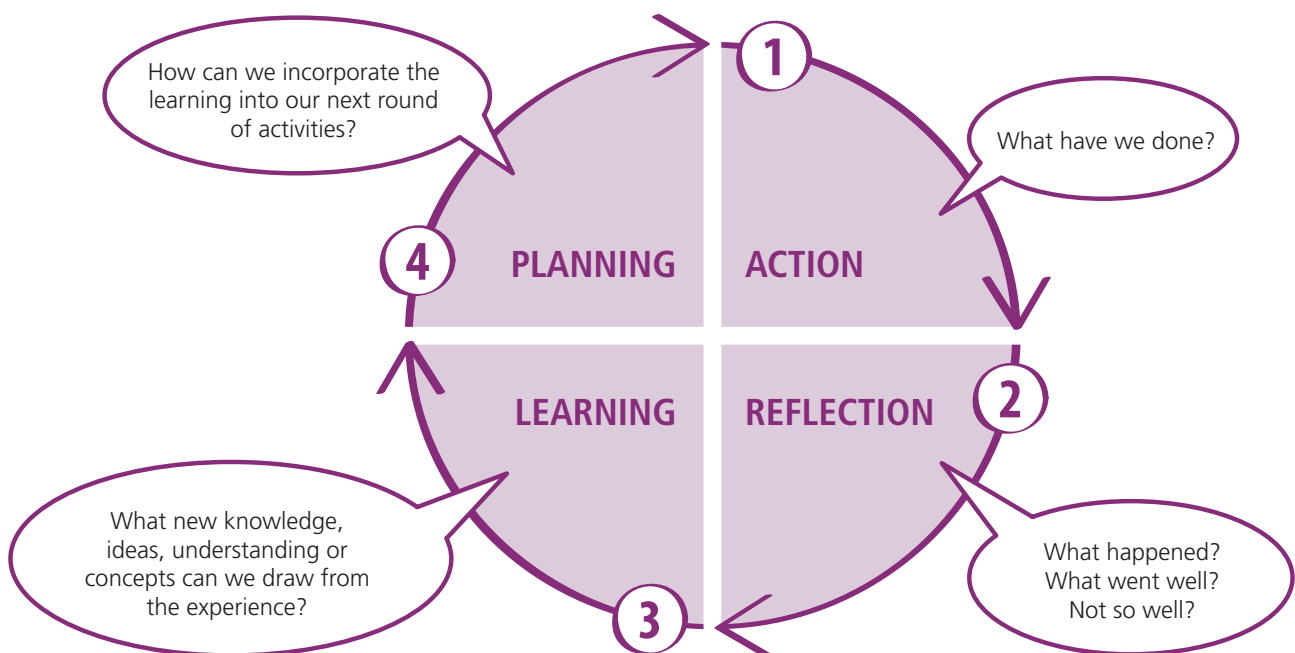
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## LEARNING FROM THE TRAINING OUTCOME EVALUATION

To ensure that all potential lessons are learned and applied, training institutions must continuously apply themselves to learning and self-reflection. The need to continuously learn is of critical importance as training institutions must always be developing in order to remain on the cutting edge of theory and practice. Staying relevant to the issues that governments face, and having the knowledge to effectively keep governments informed about best practices, will keep training institutions a valuable resource.

A popular tool for reflection and learning is the Action Learning Cycle, which can be adapted and applied to many different contexts. Using the basic questions in the diagram below, the action learning cycle can be used as a quick review of how the training programme, training needs assessment or training outcome evaluation were delivered, either as a whole or individually. With more time allowed and questions adapted to reflect specific considerations, the action learning cycle can be used for simple as well as complex situations. It can also be used for both broad or deep analytical assessments of training programmes' multi-dimensional operations.

FIGURE 14: The action learning cycle



# Appendices



## APPENDIX 1A: Interview Guidelines

### What is it?

An interview is made up of questions asked verbally (as opposed to in writing), either in person, via phone, or online (e.g. using Skype). Notes are taken of the answers and the interview can also be audio or video recorded with permission of the person being interviewed, the interviewee. Interviews can be structured, with only prepared questions, or unstructured, to discuss a topic more freely.

### When to use it?

Interviews are useful throughout the assessment process and when evaluating individual learning as well as the learning's impact on job performance. The method can be used both to obtain qualitative and quantitative data. However, to use interviews solely for quantitative data collection is not very time efficient compared to questionnaires, unless there is reason to believe that questionnaires would be misunderstood or not sufficiently responded to. Structured interviews are suitable for obtaining qualitative data, for example to compare attitudes or knowledge of people, and unstructured interviews for exploring an area of interest or find out about reasons behind problems. It is often useful to combine the approaches in a semi-structured interview, with both prepared questions and room for discussions. *See section 3.2 of the manual for the use of interviews in assessment and section 7.1 and 9.2 for evaluation.*

### How to use it?

1. **Define purpose of interview.** What information is sought and how would that contribute to the assessment or evaluation?
2. **Decide on approach.** Is a structured, an unstructured or semi-structured approach the best way to get to the desired information? Unstructured interviews provide deeper information on a topic but are more time consuming to analyze.
3. **Select interviewees and make appointments.** Most times it is not practical to interview everyone at a work place and the selection of interviewees is important to get a fair representation of different opinions and experiences.
4. **Prepare questions.** The interview should begin with general questions that are easy for the interviewee to answer, and gradually get more specific. Questions regarding the present are usually easier to reply to than questions about the past or projections of the future. Avoid leading or guiding questions such as *"Has the staff performance decreased during the last year?"*. A better way to formulate the question would be *"Has there been any change in staff performance during the last year? If so, how has it changed?"*. To get the required information direct questions might not always be possible. For sensitive topics, such as what mistakes are being made or what rules are ignored, it might be better to ask about behaviours of colleagues in general.
5. **Conduct interview.** When conducting the interview it is important to create an environment where the interviewee feels comfortable. If possible the interview should be carried out in a private space where, for example, the interviewee's boss or colleagues will not unexpectedly walk in. For an unstructured or semi-structured interview it is important to follow up the answers by probing – asking questions on who, what, why, where, when and how – to better understand the situation. It might be necessary to have a note taker other than the interviewer or to consider making an audio recording of the interview. Remember, before recordings are made, the interviewee must first give permission for the recording and its use.
6. **Analyze answers.** If the interview has been audio or video recorded a transcription first has to be made. Keep in mind for the planning that transcribing takes at least twice as much time as the length of the recording. For structured interviews the answers can be compiled in a table for comparison and identification of similarities and differences. For unstructured interviews the *KJ Analysis (appendix 9)* is a suitable method.

*Please see example interview on the following page.*

### Example Interview

What follows is an illustration of probing by an evaluator to expand or clarify a point. Notice how, at one point early in the interview, the evaluator repeats the employee's statement without asking a new question.

Employee Let's see. The main thing I have been doing differently since completing the training is writing better reports.

Evaluator You feel you have been writing better reports since the training?

Employee That's right.

Evaluator Do you write a lot of reports in your job?

Employee I'll say I do! At least one major report a week.

Evaluator Can you tell me exactly what makes your reports better now than before the training?

Employee Yes. My reports are more concise and better organized than before the training.

Evaluator How do you account for the improvement in conciseness and organization?

Employee I think it had to do with some ideas I got during the training. The instructor showed us how to diagram our material. She put a lot of emphasis on short sentences and simple words. It made sense to me that saying more with fewer words saves everybody a lot of time.

Evaluator Let me see if I'm following you - you feel that your improved reports are directly related to ideas you got during the training. Better organization and a more concise style of writing saves you time. Has this affected your productiveness?

Employee No question about it, I am much more productive now. I can do a report in about half the time it used to take. My reports are easier to read now and probably get better results.

## APPENDIX 1B: Competency Interview Template<sup>13</sup>

See section 3.2 of the manual for the use of competency interviews.

### Interviewee information

Name: \_\_\_\_\_

Job title: \_\_\_\_\_

Organization: \_\_\_\_\_

Telephone: \_\_\_\_\_

### Read this before starting the interview

Put the interviewee at ease by engaging him/her in conversation and providing information on the purpose and nature of the interview. Ask the round of question one to five up to five times or until the interviewee has no more relevant examples of accomplishments. Ask question six, seven and eight only once; do this after completing all of the preceding five-question rounds.

Reminder: Make liberal use of probing questions, such as *why*, *how* and *when*, or use any other follow-up questions that come to mind. Practice being an active listener. Make notes on the interviewee's key points using the space provided under each question and on separate paper if necessary.

### Questions

- 
1. When you think about the things you have accomplished in the role of (be specific) which one of these do you feel the best about?

- 
2. You say you feel best about ... (summarize interviewee's accomplishment). Tell me what specific knowledge, skills or attitudes, or combination of these, account for your success in this area?

- 
3. As you see it, your success depends on (summarize). Now, explain what you have had to learn in order to be as successful as you are in this area?

---

<sup>13</sup> Adapted from the UN-Habitat manual *A Guide to National Training Needs Assessment for Human Settlements: A Competency Based Approach*.

4. In your opinion, how can others in the same role learn to be as successful in this area of accomplishment as you are?

- 
5. You have given me a very complete picture of this area of accomplishment. Now, I want you to describe another accomplishment in this role that you feel good about (continue with question 2).

- 
6. What challenges do you face in your role, in particular regarding matters where your organization could provide better support?

- 
7. What new knowledge, skills or attitudinal changes do you think someone will need in order to perform successfully in this role five years from now?

- 
8. What do you think training institutions could be doing to prepare others to be more competent in this role?

## APPENDIX 2A: Group Interview Guidelines (Focus Groups)

### What is it?

In a group interview, or a focus group, around 6-10 people are gathered to discuss questions on a specific theme. A moderator is asking the questions and making sure the discussions stay within the areas of interest. The aim is a discussion in which everyone in the group can participate and where the participants build on each others' answers. Groups are arranged in culturally appropriate ways, often by gender and age, to ensure that participants can speak freely.

### When to use it?

Group interviews are useful during the assessment, when exploring the problem or demand and the current capacity of the client. If carried out successfully, the method results in answers built on many people's opinions, which is suitable for attaining an overview of the issues and the context. *See section 3.2 of the manual for the use of group interviews in assessment and section 7.1 for evaluation.*

### How to use it?

1. **Define purpose of discussion.** What topic is to be discussed and how does it contribute to the assessment?
2. **Prepare questions.** The questions should be "open", so as to encourage the participants to elaborate on the answers, not just reply with yes or no. Start with general questions on the topic, that are easy to answer, and gradually make the questions more specific
3. **Select and invite participants.** When selecting participants for the group interview both the experience of people and the groups dynamics have to be taken into account. There is always a risk of a few people dominating the discussion and the result only reflecting their opinions. To keep the discussions focused and everyone participating, it may help to select a rather homogeneous group. Cultural aspects should also be considered. Are employees comfortable discussing with their managers? Is it possible to have mixed groups, with both men and women, or is it better to have separate interview groups?
4. **Conduct interview.** A skilled moderator is required to keep the discussions focused and to encourage interaction between the participants. Interaction is what gives the method its value, thus the group interview should not be a set of individual interviews. It may be necessary to make audio or video recordings of the group interviews and/or have a person assigned to take notes. Remember, before recordings are made, the group must first give permission for the recordings and its use.
5. **Analyze result.** If the interview has been audio or video recorded a transcription first has to be made. Keep in mind for the planning that transcribing takes at least twice as much time as the length of the recording. The *KJ Analysis (appendix 9)* is a suitable method for analyzing the results of group interviews. Group interviews can also serve as a good source of information for a *SWOT Analysis (appendix 8)*.

## APPENDIX 2B: Example of Focus Group Discussion<sup>14</sup>

*See section 3.2 of the manual for the use of focus group discussions in assessment.*

Ministry Focus Group Discussion  
Capacity Needs Assessment  
Liberia, 2009

The discussions brought together in total 20-25 key staff of the four departments in the Ministry of Internal Affairs. It was facilitated by a joint team of the Ministry and the United Nations County Support Team, and the duration of the session was two hours.

In the capacity needs assessment process focus group discussions were also carried out in three Counties in Liberia, accompanied by questionnaires distributed to staff in the Ministry as well as in the Counties.

### **Objectives of the Ministry of Internal Affairs Focus Group Discussion:**

- Identify perceptions of Ministry staff regarding the Ministry's tasks and functions.
- Identify performance level and performance gaps of the Ministry in relation to its envisioned mission.
- Identify major causes for performance level and performance gaps within the Ministry in relation to its envisioned mandate.
- Identify options for addressing identified capacity gaps and commitments towards addressing those.

### **Agenda of Ministry of Internal Affairs Focus Group Discussion:**

1. Opening remarks by Deputy Minister
2. Warm-up exercises
3. Plenary exercise: "What in your opinion are the tasks and functions of the Ministry of Internal Affairs?"
4. Individual exercise: "How do you rank the performance of your Ministry in relation to the envisioned Mission?"
5. Group work (6-7 participants per group): "What are the key factors contributing to performance and non-performance in your Ministry in relation to the envisioned mission?"
6. Plenary discussion: "How can the identified capacity gaps be bridged?"
7. Follow-up and closing

<sup>14</sup> The focus group discussion was part of the activities to review individual, organizational and institutional capacities influencing local service delivery in Liberia conducted by Ministry of Internal Affairs and UN-Habitat in 2009. The assessment is documented in the Liberia Local Government Capacity Building Assessment and resulted in a 2 year Liberia Local Government Capacity Building Plan. These activities and outputs were possible under the UN County Support Team Joint Programme: Increasing Administrative, Technical and Institutional Capacity for Sub-National Service Delivery within the Republic of Liberia.

## APPENDIX 3: Observation Guidelines

### What is it?

Observation is a method to study a specific situation by watching it while taking notes or making video recordings. It can either be a real life situation or a situation staged for the purpose of the observation.

### When to use it?

Observations are useful both for initial information gathering, when little is known about the problem and context, and for evaluation of learning and job performance. It is the only way to study actual behaviours – what people do often differs from what they say they do, and in addition, many skills or procedures are difficult to explain but easier to show. However, this may be a time consuming method and there is no guarantee that the observed behaviour is the same as the typical behaviour. It is also important to remember that observations give information on what is done, but it does not explain why it is done that way. To better understand the situation it is therefore recommended to combine observations with other data collection methods. *See section 3.2 of the manual for the use of observations in assessment and section 7.1 and 8.3 for evaluation.*

### How to use it?

1. **Define purpose of observation.** What activities or situations are to be studied? List things to look for and questions to be answered by the observation.
2. **Book date and time.** Make sure that the observation is scheduled for a day when the activities of interest can be studied. Seek permission for video recordings in advance.
3. **Carry out observation.** Take notes during the observations or make video recordings. This is a rather time consuming method. In addition, it may take a bit of time for people to feel comfortable with being observed, particularly if they are also being filmed.
4. **Analyze result.** Analyzing video recordings is very time consuming, and to save time it is good to take notes of the key findings during the observations. The video recording can rather be used as a reference when it is uncertain what happened, when studying details of a specific activity or to communicate with people not familiar with the activity.

## APPENDIX 4A: Questionnaire Guidelines

### What is it?

A questionnaire is a set of written questions, either on paper or a computer. The questions can be “closed”, with predefined answers that the respondents can choose from, or “open”, where the respondents can formulate answers in the way they like.

### When to use it?

Questionnaires are mainly used to collect data from a large number of people and is particularly useful when the respondents are geographically wide spread. They are often carried out to validate information from interviews or observations and to collect quantitative data on attitudes or knowledge of trainees. By including closed questions, for example asking the respondents to rate their knowledge of a specific topic on a predefined scale, it is easy to compare the knowledge level during the assessment with the post-training knowledge level. Hence, questionnaires are useful for assessment as well as evaluation. Questionnaires also provide the possibility of anonymous responses, which may be helpful especially when the topic is sensitive. *See section 3.2 of the manual for the use of questionnaires in assessment and section 7.1, 8.3 and 9.2 for evaluation.*

### How to use it?

1. **Define purpose of questionnaire.** What data is to be collected? Is this possible without meeting the respondents in person?
2. **Create and formulate questions.** Follow the same structure when creating a questionnaire as when preparing an interview – start with general questions and gradually make them more specific. Open questions require more effort of the respondent than questions with predefined answers, and a large number of open questions might lower the response rate. If using scales for the questions, consider whether to have an even or odd number of steps. An even number of steps forces the respondent to take a stand while an odd number gives the option of a neutral answer.
3. **Decide on way of distribution.** Questionnaires can either be handed out during an event or distributed by post, email or as an online form. To hand out questionnaires as part of an activity usually results in a higher response rate than questionnaires sent by post or online. There are several online tools for creating and distributing questionnaires, for example Google docs forms ([docs.google.com](https://docs.google.com)), Kwik Surveys ([www.kwiksureveys.com](http://www.kwiksureveys.com)), and SurveyMonkey ([www.surveymonkey.com](http://www.surveymonkey.com)). An advantage of using these tools is that they automatically compile the data as people respond.
4. **Pilot test the questionnaire.** It is difficult to predict how the respondents will interpret the questions, and pilot testing a questionnaire is crucial to make sure the questions are understood correctly.
5. **Distribute questionnaire.** If the questionnaire is handed out during an event, remember to print enough copies for everyone. For postal or online distribution, it is helpful to add a contact address or phone number in case the respondents have any questions.
6. **Send out reminder.** It may be necessary to send out a reminder if the response rate is low.
7. **Compile data and analyze.** Results from the questionnaires can be compiled in tables. It is helpful to visualize quantitative data in graphs or diagrams. Remember to plan additional time to compile, analyze and evaluate responses to open questions.



APPENDIX 4B: Example of Pre-Training Questionnaire<sup>15</sup>

*See section 3.2 of the manual for the use of pre-training questionnaires.*

How to strengthen gender aspects in your daily work  
Gender training for ROAP staff  
Fukuoka, Japan, 15-16 June 2009

## A. HOW ARE YOU ADDRESSING GENDER IN YOUR DAILY WORK AT THE MOMENT?

1. **What are you doing in your projects and programmes in terms of gender mainstreaming, women's empowerment and gender balance?** (Please tick the most appropriate box below in terms of how often actions are taken. For any extra clarifications, please use the space below the table to elaborate.)

	Never	Rarely	Sometimes	Often/regularly	Always
In my office we do a thorough gender analysis before project formulation					
In my office, there is a "gender check" done once a project document is complete to make sure that gender is sufficiently addressed					
In my office, data related to a project/programme is sex-disaggregated (male/female) whenever data is available					
In my office, there is a regular monitoring and evaluation of ongoing projects/programmes from a gender perspective					

<sup>15</sup> This pre-training questionnaire was used for a gender training of UN-Habitat Regional Office of Asia and the Pacific in Fukuoka, 2009. It served as training needs assessment for the facilitators to tailor-make the training, and was mandatory for all course participants to complete in order to attend the training.

2. **In your office/programme portfolio how many projects include the following:** (Please tick the most appropriate box)

	All	More than half	Less than half	Less than a quarter	None
Project/programme includes the results of gender analysis					
Project/programme have explicit gender equality objectives					
Project/programme targeting women/girls specifically					
Project/programme targeting men/boys specifically					
Project/programme clearly define gender equality outputs and outcomes					
Project/programme reports use sex-disaggregated data					
Project/programme include resources dedicated to increase gender equality					

#### B. WHAT CAPACITY AND INSTITUTIONAL SUPPORT DO YOU REQUIRE?

3. **Have you ever received gender training?** (Please tick one)

**Yes**

**No**

4. **If yes, please state for how many days the gender training was for, and the main topics covered.**

5. I at present feel equipped to: (please tick the most appropriate box for each question)			
	Fully equipped	Somewhat equipped	Not fully equipped
Conduct a gender analysis			
Incorporate gender aspects in a project proposal			
Ensure that project implementation is consistently gender sensitive (such as in designing training, selecting interventions etc)			
Identify qualified gender-sensitive consultants for recruitment			
Easily incorporate gender dimensions in the Habitat Country Programme Documents (HCPDs ) and project documents			
Establish contact with relevant NGOs and other partners in the region working on gender			
Find relevant tools that are available within UN-HABITAT to facilitate work on gender			
Explain what the Gender Equality Action Plan (GEAP) involves and my role as UN-HABITAT staff			
Deliver a public presentation and/or speak to counterparts/partners on gender-related matters in human settlements			
Evaluate a project/programme from a gender perspective including the use of appropriate indicators			

6. **Do you feel that you can get regular and sufficient backstopping support on work related to gender from the UN-HABITAT Gender Mainstreaming Unit at HQ?** Please explain what kind of support you may have received, and any additional support you would like to have.

7. **In your view, are there considerable institutional incentives within UN-HABITAT for you to work on gender (such as promotion opportunities, recognition, budget allocations)?**

8. **To promote more effective integration and promotion of gender equality in my daily work I need the following knowledge and/or support:**

9. **In your view, what is the main thing UN-HABITAT needs to do in order to more effectively work on gender?**

**Thank you for taking the time to complete this questionnaire and we look forward to seeing you at the gender course in June!**

## APPENDIX 4C: Post-Training Evaluation Sheet

### What is it?

This measures how trainees react to the training programme. This is important to learn if the trainees like the training and if they found it relevant. This is also their opportunity to provide feedback for improvements to the training programme.

### When to use it?

Use this tool throughout the training programme or at the conclusion of key sessions, and when wishing to solicit the trainees' responses to the training. *See section 7.1* of the manual.

### How to use it?

Deliver this to the trainees upon completion of the training. Add as many trainers as necessary. Change the headings and self-assessment topics as needed so that they relate directly to the training programme. Remember to adapt the questions to the specific training event.

For example, if operating online training, or training with an online component, make sure to ask about the ease of the training. Was it difficult or easy? In which ways?

*Please see template on the following page.*

**Sample Post-Training Evaluation Sheet<sup>16</sup>**

1. Please rate this training according to the headings and provide additional feedback in the comments section. Please circle the appropriate numbers.

RATING SCALE: 1 = LOW                      3 = MEDIUM                      5 = HIGH

Trainer Name(s)	Expertise					Clarity					Culturally Appropriate					Time Management					Responsiveness to Your Needs				
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5

Comments:

2. Give some thought to what you knew before this training and what you learned during the training. Please circle the number that best represents your knowledge and skills before and after the training.

RATING SCALE: 1 = LOW                      3 = MEDIUM                      5 = HIGH

Before Training	Self-assessment of Knowledge and Skills Related to:	After Training
1 2 3 4 5	Understanding of the key topics.	1 2 3 4 5
1 2 3 4 5	Application of the key topics in trainee's job and workplace.	1 2 3 4 5
1 2 3 4 5	Designing an appropriate (including proper timeline) plan to implement the key topic.	1 2 3 4 5
1 2 3 4 5	...	1 2 3 4 5
1 2 3 4 5	...	1 2 3 4 5
1 2 3 4 5	...	1 2 3 4 5

3. Was the training relevant?
4. Do you feel confident in the issues?
5. How will you apply the lessons from the training to your work?
6. What were the strengths of the training?
7. What were the weaknesses of the training?
8. How can we improve the training?
9. Was the training an appropriate length? If no, was it too long or too short?
10. What did you think of the interactive exercises?
11. How can the training support (logistics, administration, etc.) be improved?

<sup>16</sup> I-TECH, Training Evaluation - Forms and Questionnaires: Training Evaluation and Learning Self Assessment, 2006. Available at <http://www.go2itech.org/HTML/TT06/toolkit/evaluation/forms.html> (accessed 2012-05-23). Question 11 is in addition to the original tool as used by I-TECH.

## APPENDIX 5: Problem Tree Analysis

### What is it?

A Problem Tree Analysis illustrates the linkages between a series of problems. It is used to understand the underlying problems and identify key areas to address the problem.

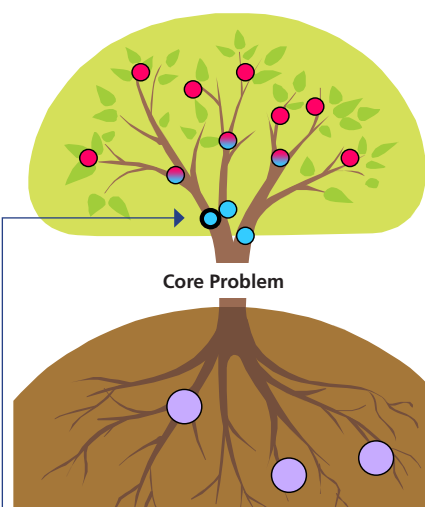
### When to use it?

This tool should be conducted before designing a project or conducting training. When an issue or problem is presented, the analysis will help better understand the context, potential problem areas to address, and how addressing specified problem areas will contribute to reducing the root cause of the problem and its effects. Remember, the best method may be approaches other than training, such as supporting community-developed and led solutions. *See section 2.1. of the manual.*

### How to use it?

Creating a Problem Tree Analysis is like solving a puzzle. Use the following key steps as guidelines to conduct an effective Problem Tree Analysis.

12. **Determining the Problem-Areas.** Mark down all related problems. It is important to be inclusive across various sectors as many problems can be cross-cutting and are often related. Do this over some time to ensure that all key pieces of information are marked. Work with others; the more perspectives the better.
13. **Classify Each Problem.** It is important to determine what the root cause of the problem is and which factors can be addressed. Problems can be classified three ways: Environment, Causes, and Effects.
14. **Arranging the Problem Tree.** Arrange the Problem Tree to make the most sense with environmental factors at the bottom, causes in the middle and effects at the top. To determine the Core Problem, ask which problem is a result of the environment, yet affects all causes?
15. **Determining How & Where to Address the Problem.** Identify key problem areas that the organization can best address. Ask the following questions:
  - How can this organization reduce the problems and their effects?
  - Is training the best method or most appropriate method?
  - What other activities can be taken reduce the problem?
  - Which problems do this organization's strengths relate to?
  - Which problems can this organization effectively address?
  - Is it certain that this organization's strengths will produce positive impacts?
  - What are the assumptions and risks involved?



### Visualizing the Classification of Problems

#### Effects

- Exist as a result of the causes.
- Some effects are also causes, influencing or affecting further problems. Ex. Unclean drinking water.

#### Causes

- These cause other problems to exist, and often directly correlate to the environment. Ex. Poor infrastructure.

#### Environment

- Underlying factors that are beyond control and cannot change. Ex. Political conflict, poverty, colonial legacy.

## APPENDIX 6: Five Whys

### What is it?

This is a process of asking five times, why the problem exists. Think of the problem from different perspectives, and gather all the information you can to determine what the root of the problem is.

### When to use it?

Use this tool to determine if training is the most effective approach to solving the problem. It will determine existing knowledge of the problem, and what needs to be further researched. *See section 2.1. of the manual.*

### How to use it?

Ask why the problem exists, five different times in five different ways. Each answer leads to a new question so that the questions build successively on the answers to the previous question.

In the example below, the Five Whys tool is being used to help determine why a certain population is increasingly ill.

1. **Ask a question to identify the initial problem.**

Question: *Why is the population increasingly ill?*

Answer: *...Because they are drinking unclean water.*



2. **Use this answer to build your next question.**

Question: *Why are they drinking unclean water?*

Answer: *...Because they are drinking from the same pond as their livestock.*



3. **Use this answer to build your next question.**

Question: *Why are they drinking from the pond?*

Answer: *...Because the borehole is not accessible.*



4. **Use this answer to build your next question.**

Question: *Why is the borehole not accessible?*

Continue until you have discovered the root of the problem.

Go into as much detail as necessary.



## APPENDIX 7: Stakeholder Analysis<sup>17</sup>

### What is it?

Stakeholder Analysis is a method of mapping the stakeholders of a project and identifying the key stakeholders to involve.

### When to use it?

A Stakeholder Analysis is useful to carry out in the beginning of the training needs assessment. *See section 2.2. of the manual.*

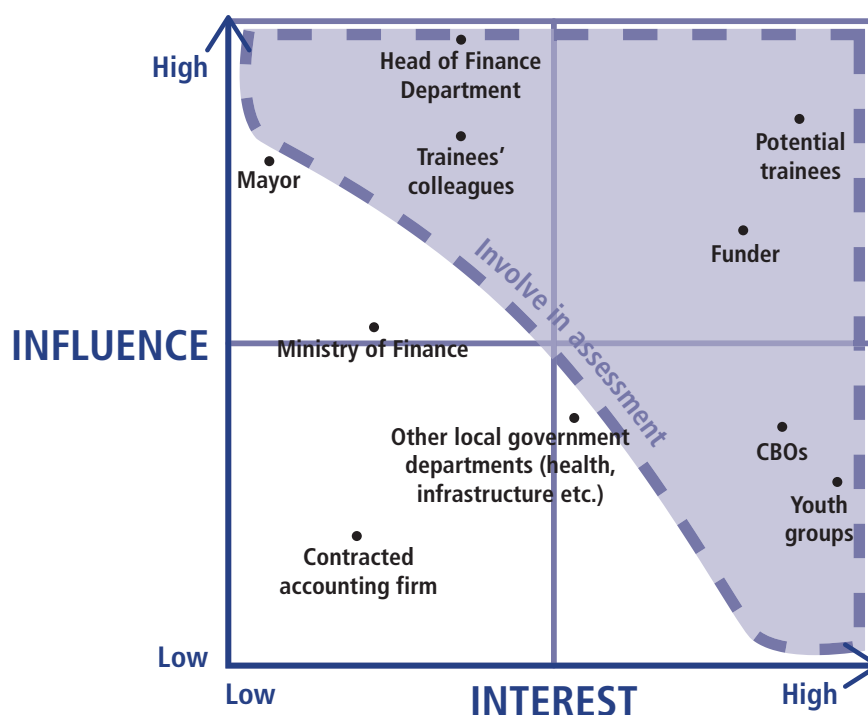
### How to use it?

First a list of stakeholders is brainstormed. Stakeholders are all individuals, groups or organizations that influence the topic of the assessment or are influenced by it, including for example:

- Specific units or employees within the organization
- Funding agencies (e.g. international organizations or the national government)
- Politicians
- Private sector actors (e.g. competitors)
- Partners
- Contractors of the organization
- Beneficiaries of the services of the organization
- The training institution and trainers

The second step is to structure the stakeholders in a grid according to what influence they have on the project and how interested they are, see the example below. Stakeholders with both high influence and high interest are most important to involve in the assessment, but stakeholders who have very high influence and low interest, or very high interest but low influence might also be important to involve. How many stakeholders to involve depends on the extent of the assessment and available resources.

Example of stakeholders in a Participatory Budgeting training, who in different ways influence or are influenced by the budgeting process of the local government:



<sup>17</sup> Adapted from [mindtools.com](http://www.mindtools.com). For more information on how to analyze stakeholders, see: [http://www.mindtools.com/pages/article/newPPM\\_07.htm](http://www.mindtools.com/pages/article/newPPM_07.htm)

## APPENDIX 8: SWOT Analysis

### What is it?

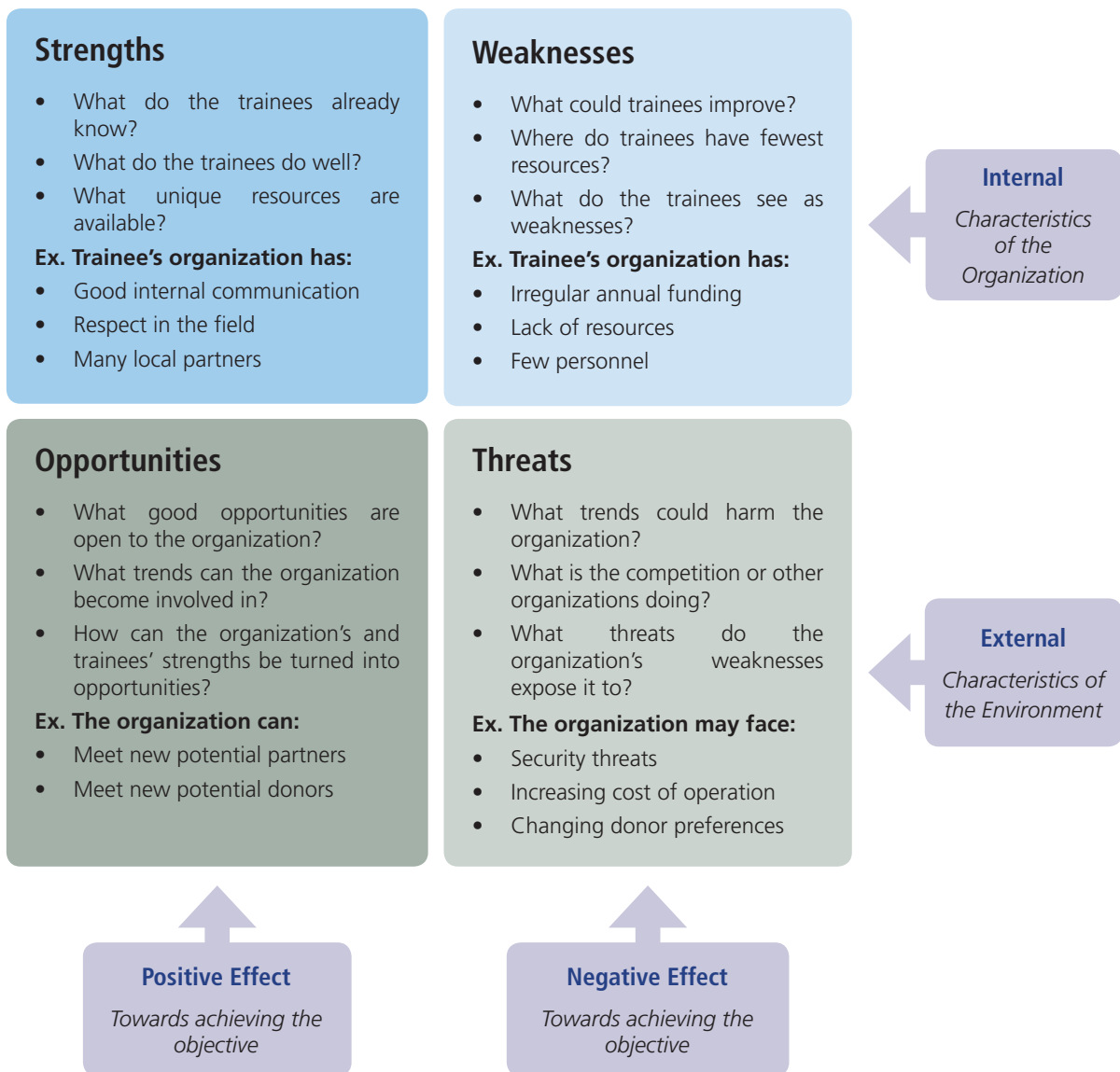
Useful to screen the context surrounding the problem, the SWOT Analysis can help determine whether or not training can solve the issue. This tool determines the internal Strengths and Weaknesses of an organization, while analyzing external Opportunities and Threats effecting the organization. This information is used to understand how these factors play a role in the way the organization performs.

### When to use it?

When presented with a problem or training opportunity, conduct a SWOT Analysis to understand the context surrounding the organization and how to respond. The knowledge gathered will enable trainers to make appropriate decisions that will build upon the strengths and opportunities of trainees, while addressing their weaknesses and focusing on their ability to perform in light of the threats they face. Most importantly, the SWOT Analysis will help determine whether or not training will solve the problem at all. *See section 2.3. of the manual.*

### How to use it?

Work through the key questions in the diagram below to make sure all the necessary information is collected to produce an effective training strategy. Ask additional questions as needed.



## APPENDIX 9: KJ Analysis<sup>18</sup>

### What is it?

KJ Analysis is a method to structure and get an overview of qualitative data. Preferably the KJ Analysis is conducted by a group of 3-7 people. It is not necessary that everyone has taken part in collecting the data.

### When to use it?

The method can be used during the assessment, for example to overview the problem and the client's current capacities. The KJ Analysis is particularly useful when analyzing data from many different sources of information. *See section 3.3 of the manual.*

### How to use it?

1. **Select data.** Write statements or facts from the data collection. An example would be to use post-it notes (one fact per post-it). Most likely there is a large amount of data available, and to avoid making the analysis unnecessarily time consuming, only include the facts that are most relevant to the investigated issues.
2. **Organize data.** In the group, review the notes one by one. Place the first on a big piece of paper, ideally on the wall so that everyone can see it. Continue with more facts and place them according to how they are perceived to be related. The perception of relations might change when new facts are added. Rearrange the notes when necessary and gradually groups and sub-groups of facts will be formed. The notes can also be arranged hierarchically, for example when analyzing the roots of a problem (as is often done when conducting a Problem Tree Analysis).
3. **Identify themes.** Name the groups of facts according to what themes they are related to.
4. **Document result.** Photograph the notes to make a digital summary of the groups and key facts. For example, one might use text boxes in Word or Power Point. The summary is useful when sharing the results with the client or people designing and delivering the training.

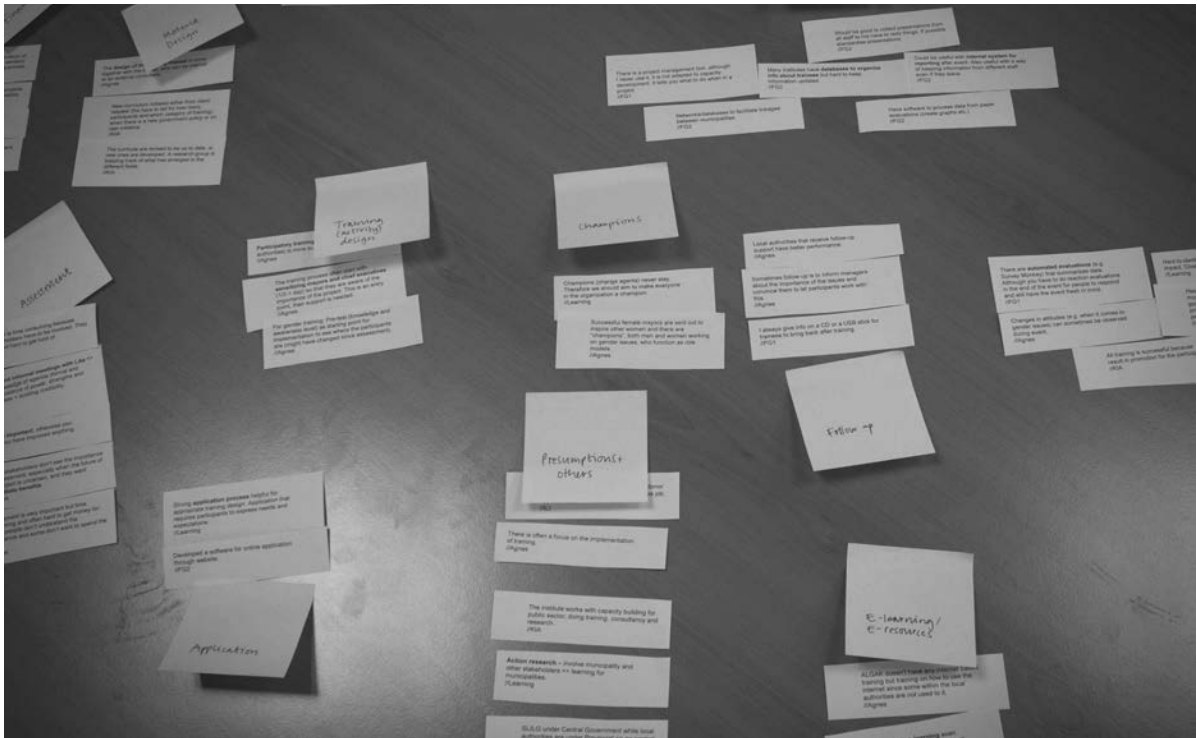
*Please see examples on the following page.*

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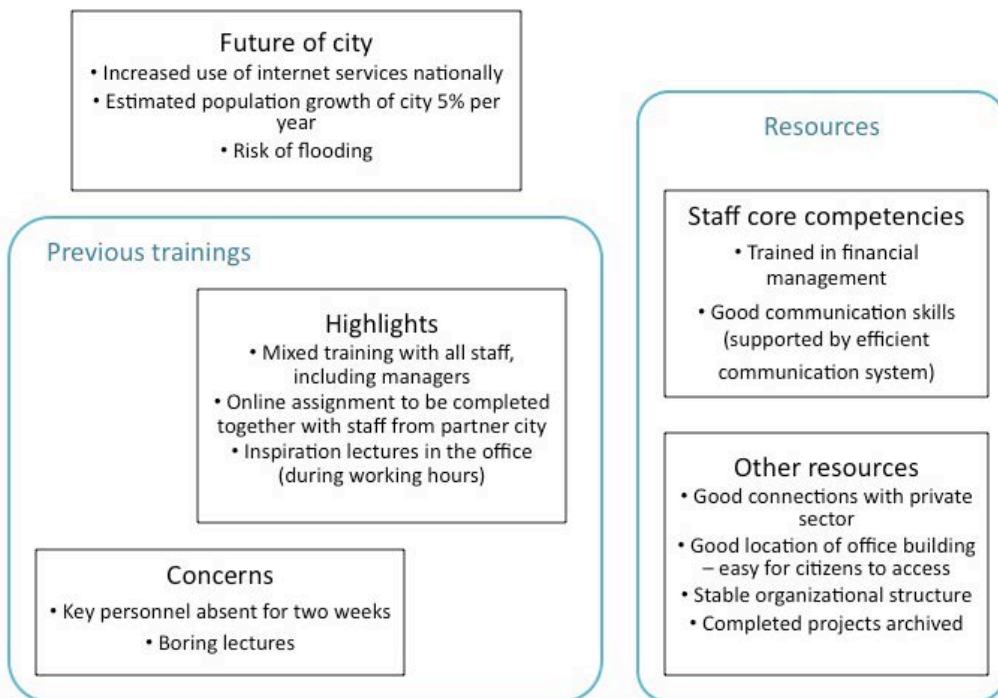
<sup>18</sup> The KJ analysis, or the KJ method, is named after the Japanese professor Jiro Kawakita (KJ are his initials, starting with his last name). He developed the method in the 1950s as a way of analyzing large amounts of qualitative data, mainly collected during interviews and conversations. Read more about Jiro Kawakita on the Ramon Magsaysay Award Foundation's website: <http://www.rmaf.org.ph/Awardees/Biography/BiographyKawakitaJir.htm>

### Example of KJ Analysis

Example of fact notes structured in a KJ Analysis:



Example of a KJ Analysis summary created in PowerPoint:



## APPENDIX 10: Learning Contract

### What is it?

Learning contracts can make explicit the important learning to be pursued during training and the behaviours to be achieved as a result of training. It is usually an agreement between the trainee and his or her supervisor, stating the required commitments of both in order for the trainee to achieve the learning objectives. *See section 4.2 and 8.3 of the manual.*

### When to use it?

The learning contract should be set up before the training, when the learning objectives have been defined.

### How to use it?

The trainee and supervisor prepare the learning contract together, in collaboration with the training provider. It can later, both before and after the training, support meetings where the trainee and supervisor discuss the training and progress in achieving the learning objectives.

Example of a pre-training learning contract between a trainee and his/her supervisor:

### Learning Contract

**Employee:** I (name) \_\_\_\_\_ request approval to participate in a training programme on (topic) \_\_\_\_\_.

The learning objective(s) I will achieve by attending this programme is/are: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

If accepted for the training, I will:

- Attend all scheduled sessions and activities
- Complete all pre-work, reading and other assignments
- Participate actively in all training activities
- Create a detailed action plan describing what I intend to do to make effective use of .....workshop learning to achieve my learning objective(s)
- Discuss this action plan with my supervisor
- Discuss highlights of the workshop with my co-workers

Signed \_\_\_\_\_ Date \_\_\_\_\_

**Supervisor:** I, (name) \_\_\_\_\_, supervisor of this employee, will support the employee in achieving his/her learning objectives in the following ways:

- Release the employee from work assignments to allow complete preparation for and attendance at all scheduled workshop sessions and activities
- Meet with the employee after the workshop to receive information on workshop content and review the employee's plan for using workshop results to achieve the employee's learning objective(s)
- Reinforce and encourage the application of new techniques and behaviours learned at the workshop
- Provide opportunities for the employee to apply new techniques and behaviours

Signed \_\_\_\_\_ Date \_\_\_\_\_

## APPENDIX 11: Performance Contract

### What is it?

This tool is used to help the trainee and trainer agree upon learning objectives and specific outcomes of the training programme before it begins. It is used before conducting the training in order to develop and ensure that both parties have a common understanding of the training programme goals, each other's expectations and responsibilities. After the training programme concludes, the trainee and trainer see if and how the training achieved its goals.

### When to use it?

This tool is used before the start of the training programme, during the design phase, so that the evaluation can be based on the contract or agreement between the trainee and trainer. The second part must be done after the training programme ends. *See section 4.2 of the manual.*

### How to use it?

Develop a contract, similar to the example on the following page, before the training begins. Have both the trainee and trainer agree to their responsibilities and the objective.

*Please see example template on the following page.*

## Sample Performance Contract

### Before Conducting the Training

**What does the trainee and their workplace expect the trainee to learn from the training programme?**

**How will the training programme improve the trainee's performance at their workplace?**

**Why does the trainee's participation in this training programme seem to be a good investment of time and money for their organization?**

**How will the trainee's participation contribute to the training programme?**

### Stated Agreement:

I (the trainer) promise to do my best within the training programme and identified training themes to help the trainee attain the above stated expectations.

Trainer Signature \_\_\_\_\_ Date \_\_\_\_\_

I (the trainee) promise to attend, participate and apply to the best of my abilities the knowledge gained in the training programme to attain the above stated expectations.

Trainee Signature \_\_\_\_\_ Date \_\_\_\_\_

### After Conducting the Training

**How has the trainee's specific areas of knowledge, skill, attitude and behaviour changed as a result of the training programme?**

**What did the trainee learn that they did not know before?**

**In what specific ways did the trainee's workplace benefit from the trainee's participation in the training programme?**

**What are the trainee's challenges to implementing their new learning, into their workplace?**

**In what specific way can the trainer further support the trainee?**

## APPENDIX 12: Results Chain

### What is it?

The Results Chain is about determining the specific training actions required to meet the objectives of the training.

### When to use it?

Use the Results Chain when designing the training programme. This tool will help determine how each step contributes to achieving the desired impact on trainees. *See section 4.4 of the manual.*

### How to use it?

Follow the below example to determine the impact training will have, and what activities are necessary to achieve them.

#### IMPACT\*

Example:

There is increased awareness and improvement in the way the trainees' organization works.

\*Remember, it is very difficult to prove and measure the impact of training because the ability to apply training and what has been learned will be effected by other positive and negative variables.

#### OUTCOME (Learning Objective)

Example:

Trainees are effectively applying the lessons learned to their workplace.

#### OUTPUTS

Example:

- Trainees have increased knowledge and understanding of the key issues
- Trainees have Action Plans that will enable them to effectively apply the lessons learned to their workplace.

#### ACTIVITIES/RESOURCES

Example:

- Educate the trainees on key issues
- Provide material to support the learning (graphs, documents, visuals, PowerPoint, etc.)
- Reinforce the lessons learned through exercises where the trainees can tangibly experience their learned activities (site visits, participant demonstrations, etc).
- Support and encourage trainees to determine how they will apply the lessons learned (ex. trainees write an Action Plan demonstrating how they will incorporate their new learning into their workplace).

**Start here!**

Read the chart from the bottom to the top.



## APPENDIX 13: Follow-Up Plan

### What is it?

This tool is used in conjunction with the tools used to design the training programme. It compares the expectations of each learning exercise and their specific learning lessons with its performance and what trainees actually learned.

### When to use it?

Develop the Follow-Up Plan before implementing the training. Use this tool when determining if the training methods were effective and benefited the trainees, helping them meet their learning objectives. *See section 4.4 of the manual.*

### How to use it?

When determining what exercises will be used during the training period to teach key lessons, write down the expectation of each exercise into the Follow-Up Plan. After conducting each exercise, see how it compares to what was expected. Did the exercise run smoothly? Did trainees respond positively? Did trainees remember the lesson by the end of the training? Did trainees incorporate the learning into additional elements of the training programme? How can the trainers further enhance the learning exercises?

*FAO (2011), "Learning Module 3, Toolbox 6: Provide follow up support." In Good Learning Practices for Effective Capacity Development. 8 August 2011 – draft.*

*Please see example template on the following page.*

### Sample Follow-Up Plan

<b>Learning Initiative:</b> Ex. Training for Community Entry into communities with different customs and values.		
<b>Delivery Date:</b> Ex. 7-April-2011		
<b>Identified Learning Exercises</b>		
1. Open Discussion	2. Site Visits	3. Role Play
<b>Lessons to be Learned</b>		
1. There are many different definitions of community entry and values, etc.	2. The many different ways of application (community entry), hence the different definitions.	3. Trying to implement some of the different techniques based on randomly drawn community characteristics, or on case studies.
<b>Trainees Response to Learning Exercise</b>		
1. Moderately Engaged	2. Actively Engaged, very positive feedback in the moment.	3. Most trainees were actively engaged, less than one quarter of trainees responded negatively.
<b>What was the Culminating Activity?</b> Trainees wrote individual Action Plans for how they could share the lessons learned into their workplace.		
<b>Did Trainees Remember and Correctly Apply the Lessons Learned from each Learning Exercise in the Culminating Activity?</b> Explain key strengths and weaknesses.		
<b>How can the Learning Exercises be Further Enhanced?</b> Explain where trainees specifically struggled and what tactics were successful in helping them understand.		
<b>Timeframe: When Is Additional Follow-Up Provided to Trainees at Their Workplace?</b> Follow-up at two times: 6 months and 9 months. Final evaluation: 1 year.		
<b>Budget: Have the Appropriate Allocations Been Approved?</b> Check for approval of division and of donors.		

## APPENDIX 14: Five “W” Interview

### What is it?

Semi-structured Five “W” Interview is used to gather information from trainees. The individual conducting the follow-up asks trainees, one on one, to answer simple (non-leading and unbiased) questions about the effectiveness and usefulness of the training.

### When to use it?

Use this tool after the training has taken place and once trainees have had a chance to being implementing the lessons learned. *See section 4.4 of the manual.*

### How to use it?

Ask questions about the training and lessons learned using the Five “W” Interview structure. Remember that the Five “W”s are often complimented by asking “How?”. Be patient and ask for honest answers.

Some example questions include:

1. **WHY** did you attend the training event?
2. Did you do learn at the training event? If yes, **WHAT** did you learn?
3. **WHEN** did you understand the lessons being taught? (The whole time/most of the time/half of the time/part of the time? During which activities?)
4. **WHO** benefited from your being trained?
5. Did you apply what you learned to your workplace? If yes, **HOW** did you apply is? Did it change the way you and/or your colleagues work?

## APPENDIX 15: Learning Improvement Plan

### What is it?

The Learning Improvement Plan is an agreement between the trainees and their supervisors, aiming to support the trainees in applying their learning to their work, in order to improve performance. It states the performance goal of the trainees as well as resources needed, potential barriers, and actions to take to overcome the barriers.

### When to use it?

The Learning Improvement Plan is formulated after the training and serves as support during the follow-up phase of the training. It can also be valuable to study the learning improvement plan when evaluating the training programme. *See section 4.4 of the manual.*

### How to use it?

The trainee and his or her supervisor should prepare the learning improvement plan together, with support from the training provider. Refer to the training needs assessment and learning objectives when writing the goal of the trainee, indicators of success, outcome, barriers to learning being implemented in the job etc.

*Please see example template on the following page.*

**Template of a post-training learning improvement plan between a trainee and his/her supervisor**
**Area of Improvement**

What tasks or functions am I doing now that I want to do differently or better based on what I have learned in training? (Describe tasks or functions)

**Goal**

What specific changes in performing these tasks or functions do I have in mind? By when do I plan to accomplish this? (Describe with date)

**Success Indicators**

How will I know whether or not and how well I have succeeded in achieving this goal? (Explain)

**Resources**

What assistance (from whom) and resources (time, money, equipment) do I need to implement my improvement plan? (Specify)

**Barriers**

What obstacles or barriers do I expect to encounter (from inside me or from external sources) in implementing my improvement plan? (Explain)

**Action Plan**

What specific steps must I take to avoid or deal with each of these obstacles or barriers? (Specify)

**Outcome**

What contributions will I make to my job, the organization, and the organization's services by achievement of my learning improvement plan? (Describe)

**Commitment**

By signing this contract, we agree to make a commitment of time and money to carry out this learning implementation plan. We agree to meet every \_\_\_\_\_ months to review progress and make changes as needed.

Name trainee \_\_\_\_\_ Signature \_\_\_\_\_

Name supervisor \_\_\_\_\_ Signature \_\_\_\_\_

## APPENDIX 16: Job Shadow Performance Testing

### What is it?

This tool is a test that allows the individual conducting the follow-up to determine if the trainee remembers and applies the lessons from the training into their daily life at the workplace.

### When to use it?

Use this tool after the training has taken place and once trainees have had a chance to begin implementing the lessons learned. *See section 9.2 of the manual.*

### How to use it?

Unlike written tests, the individual conducting the follow-up does not reveal what they are looking for to the trainee. Instead, they join the trainee on the job, and observe how they work. Remember to look at behaviour and for application of the lessons learned, not just whether or not the trainee understands the concepts.

Look for answers to questions such as:

- Does the trainee remember the lessons learned?
- Does the trainee apply the lessons learned from the training programme into their workforce?
- Has the trainee shared about the lessons learned from the training programme to colleagues?
- If the trainee wrote an action plan, has the action plan been implemented? If so, has it been successful? If not, has the trainee modified it, or given up on the concepts?

## APPENDIX 17: Action Plan

### What is it?

An Action Plan is created by individual trainees, or a team of trainees from the same organization, outlining specific steps that they will implement when returning to their respective workplace. These steps lead to a particular goal and may include concrete things within the trainee's mandate, such as implementation of specific changes, advocacy to particular supervisors, communicating knowledge on a new process to a partner, etc.

### When to use it?

Use this tool to create the Action Plan during the training. Trainees begin to implement the Action Plan once returning to their workplace. Trainers will use the Action Plan to monitor the progress of the trainees' implementation as well as to follow-up and evaluate on which specific items the trainees have and have not implemented. *See section 9.3 of the manual.*

### How to use it?

Have the trainee identify what changes need to occur for the lessons learned to be implemented into their workplace. Outline specific steps necessary to make these changes occur. Consider the following points:

- Who needs to support the changes?
- How will the changes be communicated?
- What will the new process look like?
- Will current processes, logistics and administration procedures be disrupted? How can a smooth transition to the new process occur?

*Please see example Action Plan on the following page.*

## Example Action Plan

### Overall Intervention Strategy

#### Statement by trainee:

Upon returning to my workplace, I will discuss with the appropriate individuals and institutions the following strategy for improving the quality and availability of local government training opportunities within the sphere of my institution's influence:

#### 1. Statement of overall strategy

- A. Implement, in my own department, methods used to conduct this course.
- B. Continue work on the three problems which I presented at the start of the course: (1) maintenance of flats; (2) market problem; and (3) public relations in the city hall.
- C. Continue work on an urban planning and housing strategy which could have a profound, long-term impact on future planning in Romania.

#### 2. Identify the results expected to be achieved through strategy implementation

- A. More efficient teamwork
- B. Involve my department's employees in resolution of the three problems
- C. Develop and run a training course specifically for people involved in urban planning and management

#### 3. List the stakeholders who need to be involved if the strategies are to be implemented successfully

- A. Mayor; manager of urban planning department
- B. All those who are interested in these subjects and officials of the responsible city hall departments
- C. The Ministry of Public Works and regional planning offices; architects who have participated in this course

#### 4. Identify the stakeholder (individual or organization) who will take the lead responsibility to ensure

- A. Chief of the Urban Planning Department (the trainee writing this Action Plan)
- B. Three coordinating groups organized from appropriate departments at the city hall
- C. Perhaps the Ministry of Public Works, regional planning and/or the association of mayors

#### 5. Propose a timetable for implementation

- A. Immediately on return to work
- B. January/February (3-4 months)
- C. By end of next year (14 months)

#### 6. List the resources needed to carry out the strategy

- A. People who want to learn new methods of work
- B. People to take part in problem-solving sessions
- C. Sources of financing (sponsors); people for the training team; people who want to take part in the training programme

#### 7. List some initial tasks that need to be undertaken if the strategy is to be implemented successfully

- A. Explain methods of work; involve people in brainstorming sessions (problem solving); question people about what they like/do not like about their work.
- B. Train the key stakeholders to improve their ability to resolve the three problems; offer them alternatives to consider; facilitate their use of problem solving methods.
- C. Send a proposal to various key city halls asking for their interest in pursuing the proposed course of action; collect responses and review them; send a summary of the responses to the Ministries of Regional Planning and Public Finance with a request for financial/planning assistance; send invitations to participate (eventually) to former communist-block countries; locate a venue for the training course; identify sponsors; organize the training team.

## APPENDIX 18: Outcome Mapping

### What is it?

This tool evaluates the training programme based on the change in trainees' behaviour, activities or actions post training. It determines if trainees did or did not implement the lessons learned into their workplace.

### When to use it?

Use this tool after the conclusion of the training programme and after enough time has passed to determine if the trainees did or did not implement the lessons learned. *See section 9.4 of the manual.*

### How to use it?

Check if trainees did or did not implement the lessons learned. If they did not implement the lessons learned, try to determine if it was because trainees did not understand the lessons, or if they did not know how to apply it. More information is available from the sources below.

Overseas Development Institution (ODI): Research and Policy in Development: [http://www.odi.org.uk/rapid/tools/toolkits/Outcome\\_Mapping/Index.html](http://www.odi.org.uk/rapid/tools/toolkits/Outcome_Mapping/Index.html)

International Development and Research Committee (IDRC). Various documents about IDRC's Outcome Mapping model are available at: [http://web.idrc.ca/en/ev-26586-201-1-DO\\_TOPIC.html](http://web.idrc.ca/en/ev-26586-201-1-DO_TOPIC.html)

Building Learning and Reflections into Development Programs: <http://web.idrc.ca/openebooks/959-3/>

**Manual**  
**Training Needs Assessment and Training Outcome Evaluation**  
**In an Urban Context**

Assessing training needs and evaluating the outcomes of training are crucial, both for training providers and recipients of training, to ensure that training is effective and resources are wisely used. Despite the importance of assessment and evaluation, these steps are often the least prioritized of the training cycle as they are perceived as complicated and costly. This manual supports training providers with practical and affordable methods and tools for training needs assessment and training outcome evaluation, ultimately aiming to increase the value of training. The methods and tools are accompanied by basic theory on assessment and evaluation as well as ideas on how and why to engage funders and other stakeholders in the process.



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